



---

# ASSOCIATION OF UNIVERSITY TECHNOLOGY MANAGERS

## 1990 Annual Meeting

### *Challenges and Opportunities in a New Era*

February 18-20, 1990

Hyatt Regency Hotel, San Antonio, Texas

From all the AUTM Officers, Trustees and Committee Chairs - Welcome to the 1990 AUTM Annual Meeting! As you can see from the program, we again have excellent speakers and many diverse topics to spark your interest. With each year's growing (and record setting) attendance, AUTM gains a more diverse membership, all with valuable expertise, who are willing to share their knowledge and experiences. Be sure to take advantage of this opportunity to meet and talk with your colleagues from industry and other universities. Most importantly, enjoy the meeting and your stay here in wonderful San Antonio.

#### AUTM OFFICERS

President  
Katharine Ku/Stanford University

President Elect  
Edward MacCordy/Washington University

Past President  
Stephen Atkinson/Harvard Medical School

V.P. - Eastern Region  
Marvin Guthrie/Mass. General Hospital

V.P. - Central Region  
Teri Willey/Northwestern University

V.P. - Western Region  
William Hostetler/Oregon State University

V.P. - Professional Development  
Edmund Regina/Harvard Medical School

Secretary  
Jon Sandelin/Stanford University

Treasurer  
Nathan Dinces/Dartmouth

#### TRUSTEES

H.S. Duke Leahey/Washington University  
Marjorie Forster/University of Maryland

#### COMMITTEE CHAIRPERSONS

Annual Meeting: Edward MacCordy

Bylaws: Trice Bryan

Education: Taylor Morgan

Industry Relations: Sarah Shoaf Cabot

Membership: James Lyddy

Nominating: Stephen Atkinson

Planning: H.S. Duke Leahey

Publications: Paul Waugaman

Public Affairs: Howard Bremer

Publicity: George Farnbach

---

#### 1990 AUTM ANNUAL MEETING COMMITTEE

Chair  
Ed MacCordy

Committee Members  
Kathleen Terry  
Lita Nelsen  
Dave Charron

Arrangements  
Sally Hines

Site Selection  
Spencer Blaylock

# PROGRAM

## SATURDAY

February 17, 1990

2:00 - 5:00	Meeting of AUTM Trustees [Frio]
6:30	Dinner for AUTM Trustees and the Meeting Committee [Meet in Hyatt lobby at 6:30]

## SUNDAY

February 18, 1990

11:00 - 5:30	Registration in the Regency Foyer
10:00 - 1:00	Meeting of AUTM Trustees [Frio]
1:00 - 1:15	<b>WELCOME AND MEETING OVERVIEW</b> [Regency Ballroom East] <i>Ms. Katharine Ku, President, AUTM</i> <i>Mr. Edward MacCordy, President Elect, AUTM</i>
1:15 - 2:15	<b>OPENING ADDRESS</b> [Regency Ballroom East] <b><u>Genome Mapping: Base for New Research and Technology</u></b> <i>Dr. David Schlessinger, Professor of Microbiology in Medicine, Professor of Genetics in Medicine, Director, Center for Genetics in Medicine, Washington University</i>
2:15 - 2:30	Refreshments [Regency Foyer]
2:30 - 4:00	<b>PLENARY SESSION</b> [Regency Ballroom East] <b><u>Conflict of Interest in Technology Transfer</u></b> <i>Moderator: Dr. Martin Rachmeler, Director, Technology Transfer Office, University of California at San Diego</i> <i>Panelists:</i> <i>Dr. Katherine L. Bick, Deputy Director for Extramural Research, National Institutes of Health</i> <i>Mr. Richard Fleming, President and Chief Executive Officer, Catalytica</i> <i>Ms. Karen Hersey, Director, Technology Administration, North Carolina State University</i>
4:30 - 5:00	<b>BOAT TRIP</b> A relaxing exploration of the picturesque San Antonio River (weather permitting). Tickets available at Meeting Registration Desk. Boats leave from the Riverwalk on the river side of the Hyatt. Take the elevator or stairs by the concierge desk down to the river level.
5:30 - 7:00	<b>WELCOMING RECEPTION</b> [Regency Ballroom West] Dinner on your own. Enjoy an evening in San Antonio!

## MONDAY

February 19, 1990

8:00 - 5:30	Registration
8:00 - 10:00	Accompanying Persons' Continental Breakfast in the Garden Terrace
8:00 - 9:00	<b>CONTINENTAL BREAKFAST</b> for attendees in the Regency Foyer
9:00 - 10:30	<b>PLENARY SESSION</b> [Regency Ballroom East] <b><u>Venture Capital - University Alliances</u></b> <b><u>Startups with External Venture Capital Organizations</u></b> <i>Mr. A. Grant Heidrich, General Partner, Mayfield Fund</i>
10:30 - 10:45	Refreshments [Regency Foyer]
10:45 - 12:15	<b>PLENARY SESSION</b> [Regency Ballroom East] <b><u>Venture Capital - University Alliances</u></b> <b><u>Startups by University Affiliated Venture Capital Organizations</u></b> <i>Dr. Brian L. Clevinger, President, A/W Company</i>

Continued on Next Page

12:15 - 1:45

**LUNCH [Rio Grande Ballroom]**

**Preview of the upcoming AUTM summer meeting in Vancouver.**

*Dr. James Murray, Director, Industry Liaison, University of British Columbia*

1:00 - 5:00

Accompanying Persons' tour. Meet in the Hyatt lobby at 12:45.

2:00 - 3:30

**WORKSHOP SESSION A**

**A-1 Liability Protection - Minimizing Risk in Tech Transfer [Regency East #1]**

Risks of financial loss inherent in technology transfer - a risk manager discusses measures a university may take to manage these risks.

*Mr. Glenn Klinksiek, Director of Risk Management, University of Chicago*

**A-2 Valuing Technology - Royalties and Equity [Regency East #2]**

(Repeated in Tuesday Workshop Session D-1)

Purposes are 1) to develop a rational approach to valuing technology and 2) to define what constitutes equitable royalty and equity agreements.

*Mr. H.S. (Duke) Leahey, Director, Industrial Contracts and Licensing, Washington University*

*Mr. A. Grant Heidrich, General Partner, Mayfield Fund*

**A-3 Issues in Licensing Foreign Companies [Regency East #3]**

Factors to consider when licensing companies located overseas, with emphasis on Japan. Requirements of Public Law 96-517, use of agents, cultural factors and similar issues will be discussed.

*Mr. Jon Sandelin, Associate, Technology Licensing, Stanford University*

**A-4 Basics of Patent Practice for Technology Managers [Directors]**

The basic principles of patent law and practice for university technology managers will be presented through the use of a case study.

*Marvin C. Guthrie, Esq., Associate Vice President, Research and Technology Affairs, Massachusetts General Hospital*

**A-5 Getting Regulatory Approval of Biotechnology Products [Chula Vista]**

The various roles of the several federal regulatory agencies and the process followed to develop the regulatory program and requirements will be covered.

*Dr. Frank Serdy, Regulatory Affairs Director, Monsanto Company*

**A-6 University Involvement in Company-Company Conflict [Pecan]**

The university's role in three kinds of company-company conflict including litigation over university owned patents, inventions that incorporate company owned proprietary materials, and compulsory sublicensing of broad university owned inventions.

*Charles De La Garza, Esq., Arnold, White and Durkee*

*Ms. Lita Nelsen, Associate Director, Technology Licensing Office, Massachusetts Institute of Technology*

*Mr. Luis Mejia, Associate, Technology Licensing, Stanford University*

*Coordinator: Ms. Sarah Shoaf Cabot, Director, Corporate Development, DNX*

**A-7 Foreign Licensing Through a Unique Venture Capital Group [Frio]**

A description of WDCC as a source of venture capital and economic and political entree in select, stable, lesser developed countries (LDC). Discussion of the potential for cooperation with universities willing to participate actively in business opportunity identification and evaluation, technology assessment re adaptability to LDCs, in-country entrepreneur identification, and technology transfer including training. University models such as agricultural extension and sea grant programs may offer possibilities.

*Mr. Richard A. Tropp, Chief Executive Officer, Washington Development Capital Corporation*

3:30 - 3:45

Refreshments [Regency Foyer]

Continued on Next Page

**ADDENDUM**

**THIS IS A REVISED DESCRIPTION FOR WORKSHOP SESSION A-7 TO BE HELD IN THE FRIO ROOM ON MONDAY AT 2:00-3:30 P.M.**

**"An Opportunity to License University R&D Products into Less Developed Countries through WDCC"**

Washington Development Capital Corporation (WDCC) is a new venture capital firm, established by former AID staff to channel U.S. private equity capital into the policy-reforming LDCs--those seriously engaging in "structural adjustment" of their economies, and welcoming new foreign investment. WDCC searches for entrepreneurs in Latin America, Africa, and the Maghreb who have projects which (a) will be developmental for their country, and (b) will earn a 30% + rate of return, and offers those entrepreneurs both financing and technical assistance. University agricultural, marine, bioenergy and other scientists and engineers can license their new technologies through WDCC into these LDCs, thereby (1) applying their technology ideas to helping an LDC to develop, and (2) earning royalties for the university and perhaps themselves. WDCC seeks such ideas for technology transfer to the LDCs from AUTM member institutions.

*Mr. Richard A. Tropp, Chief Executive Officer, Washington Development Capital Corp.*

**THIS IS A REVISED DESCRIPTION FOR WORKSHOP SESSION B-2 TO BE HELD IN THE FRIO ROOM ON MONDAY AT 3:45-5:15 P.M.**

**"Recent Patent Practice Issues"**

Two experienced practitioners provide perspectives on pertinent precedents established in patent practice during the past year.

*Charles De La Garza, Esq., Arnold, White and Durkee  
Donald Dunner, Esq. Finnegan, Henderson, Farabow, Garrett and Dunner*

**THE FOLLOWING IS A SPEAKER CHANGE FOR WORKSHOP SESSION B-4 TO BE HELD IN THE DIRECTORS ROOM AT 3:45-5:15 P.M.**

**In place of John R. Morrissey, the speaker will be:**

*Gunars Gaikis, Smart and Biggar*

3:45 - 5:15

**WORKSHOP SESSION B**

**B-1 Basics of Licensing** [Pecan]

What can be licensed, basics of a licensing agreement, how to go about finding licensees and the important "watch outs" in licensing activities.

*Ms. Lita Nelsen, Associate Director, Technology Licensing Office, Massachusetts Institute of Technology*

**B-2 Patent Litigation Issues** [Frio]

Two experienced patent trial lawyers will discuss avoidance and preparation for patent litigation.

*Charles De La Garza, Esq., Arnold, White and Durkee  
Donald Dunner, Esq., Finnegan, Henderson, Farabow, Garrett and Dunner*

**B-3 Technology Development, New Approaches to Leveraging University Technology** [Chula Vista]

Two organizational concepts incorporating technology development capabilities: one to serve the individual university and the other to serve a consortium of universities.

*Ms. Ann Faulkner, Assistant Director, Office of Corporate Programs and Technology, University of Pennsylvania  
Mr. Jon Case, Office of Corporate Programs and Technology, University of Pennsylvania  
Mr. W. Mark Crowell, Director, Office of Technology Transfer, Duke University*

**B-4 An Update on the Canadian Intellectual Property Scene** [Directors]

Comprehensive update covering U.S. client advantage in bringing a patent infringement action in Canada and what to expect, trade secrets and confidential information re Supreme Court decision, patenting life forms in Canada, plant breeders' rights, recent amendments to patent and copyright laws and Canadian Government in university intellectual property (DSS1053).

*Mr. Richard J. Hicks, Director, Patents and Licensing, PARTEQ Innovations, Queens University  
Mr. John R. Morrissey, Partner, Smart and Biggar*

**B-5 Aggressive Marketing and Licensing Strategy** [Regency East #2]

(Repeated in Tuesday Workshop Session C-2)

How to market technology effectively, how to use advantageous packaging of materials, how to search for potential licensees, and the effective use of databases.

*Mr. Carl B. Wootten, Director, University of California Systemwide Patent, Trademark and Copyright Office  
Mr. Neil A. MacDonald, Executive [North America] British Technology Group*

**B-6 Confidential Disclosures and Remedies for Breach** [Regency East #3]

Confidential disclosures in technology transfer facilitate full candor and can bring mutual benefit in cooperative relationships between faculty and industry. How agreements should be drafted, and what legal remedies are available if breach occurs.

*Kathleen R. Terry, Esq., Assistant Director, Office of Patents and Licensing, University of Minnesota  
Albin J. Nelson, Esq., Merchant and Gould  
Mr. John F. Thuente, Director, Office of Patents and Licensing, University of Minnesota  
Dr. Marilyn Ziemer, Director of Licensing, Bristol-Myers Co.*

**B-7 Advanced Licensing** [Regency East #1]

(Repeated in Tuesday Workshop Session D-2)

Thoughts and discussion of creative licensing strategies and how to deal with "tricky" licensing issues.

*Ms. Katharine Ku, Associate Director, Office of Technology Licensing, Stanford University  
Ms. Lisa Kuuttila, President, Technology Alignments, Inc.*

5:30 - 7:00

**COCKTAILS AND HORS D'OEUVRES** [Rio Grande Ballroom]  
Enjoy another evening in San Antonio

Tuesday on Next Page

# TUESDAY

February 20, 1990

7:30 - 9:30	Accompanying Persons' Continental Breakfast in the Garden Terrace
7:45 - 8:45	<b>CONTINENTAL BREAKFAST</b> for attendees in the Regency Foyer
8:30 - 2:00	Accompanying Persons' Tour begins. Meet in Hyatt lobby at 8:15.
8:45 - 10:15	<b>WORKSHOP SESSION C</b>
	<b><u>C-1 Technology Trapped in Licensee Bankruptcy</u></b> [Llamo] Implications to the university and its technology of licensee bankruptcy, questions the university should ask concerning potential licensee bankruptcy, and strategies to protect the university and its technology. <i>Mr. Eugene K. Schuler, Jr., Director, Technology Transfer Office, Research Foundation, State University of New York</i> <i>James R. Dennehey, Esq., General Counsel, Research Foundation, State University of New York</i>
	<b><u>C-2 Aggressive Marketing and Licensing Strategy</u></b> [Regency East #2] (Repeat of Monday Workshop Session B-5) How to market technology effectively, how to use advantageous packaging of materials, how to search for potential licensees, and the effective use of databases. <i>Mr. Carl B. Wootten, Director, University of California Systemwide Patent, Trademark and Copyright Office</i> <i>Mr. Neil A. MacDonald, Executive (North America) British Technology Group</i>
	<b><u>C-3 Introduction to Biotechnology Licensing</u></b> [Regency East #1] Working definitions of biotechnology terminology for the non-scientist, examples of biotechnology inventions and where they might originate inside a university, and discussion of why biotechnology licensing is special. <i>Dr. Alexandra J. Baran, Director, Academic Affairs and Intellectual Property, Houston Biotechnology Incorporated</i> <i>Ms. Carol S. Grande, Manager, Office of Technology Development, University of Texas, M.D. Anderson Cancer Center</i>
	<b><u>C-4 Advanced Issues in Biotechnology Licensing</u></b> [Regency East #3] (Repeated at 10:30 as Workshop Session D-5) An in-depth look at specific issues related to the licensing of biotechnology related inventions including new legal developments and alternatives for choice of licensee. Products on the horizon will also be reviewed to demonstrate the breadth and state of the art of this important new technological area. <i>Ms. Sarah Shoaf Cabot, Director, Corporate Development, DNX</i> <i>Mr. Jon S. Saxe, President, Synergen</i> <i>Susan H. Griffen, Esq., Finnegan, Henderson, Farabow, Garrett and Dunner</i>
10:15 - 10:30	Refreshments [Regency Foyer]
10:30 - Noon	<b>WORKSHOP SESSION D</b>
	<b><u>D-1 Valuing Technology - Royalties and Equity</u></b> [Regency East #1] (Repeat of Monday Workshop Session A-2) Purposes are 1) to develop a rational approach to valuing technology and 2) to define what constitutes equitable royalty and equity agreements. <i>Mr. H.S. (Duke) Leahey, Director, Industrial Contracts and Licensing, Washington University</i> <i>Mr. A. Grant Heidrich, General Partner, Mayfield Fund</i>

Continued on Next Page

**D-2 Advanced Licensing [Regency East #2]**

(Repeat of Monday Workshop Session B-7)

Thoughts and discussion of creative licensing strategies and how to deal with "tricky" licensing issues.

*Ms. Katharine Ku, Associate Director, Office of Technology Licensing, Stanford University*

*Ms. Lisa Kuuttilla, President, Technology Alignments, Inc.*

**D-3 Research Data - Managing Pandora's Box [Blanco and Llamol]**

Exploration of the rights, roles and responsibilities of researchers and institutions in the management, maintenance, transfer and use of research data. Case studies dealing with ownership of data, licensing unprotected data, providing unpublished data to sponsors and licensees, and data access by terminated employees.

*Ms. Patricia Brennan, Intellectual Property Administrator, University of California at Los Angeles*

**D-4 Software, Courseware and Multimedia Licensing [Pecan]**

Various issues related to these materials such as ownership, marketing, distribution, licensing terms and future directions of the technology behind courseware and multimedia.

*Mr. David Charron, Associate, Technology Licensing, Stanford University*

**D-5 Advanced Issues in Biotechnology Licensing [Regency East #3]**

(Repeat of earlier Workshop Session C-4)

An in-depth look at specific issues related to the licensing of biotechnology related inventions including new legal developments and alternatives for choice of licensee. Products on the horizon will also be reviewed to demonstrate the breadth and state of the art of this important new technological area.

*Ms. Sarah Shoaf Cabot, Director, Corporate Development, DNX*

*Mr. Jon S. Saxe, President, Synergen*

*Susan H. Griffen, Esq., Finnegan, Henderson, Farabow, Garrett and Dunner*

Noon - 2:00

**LUNCH AND BUSINESS MEETING [Rio Grande Ballroom]**

2:00 - 3:30

**PLENARY SESSION [Regency Ballroom West]**

**Intellectual Property Laws: Legislative Developments, International Harmonization and Trade Issues**

Recent Legislative developments and an overview of activities of the U.S. Patent and Trademark Office and the Office of the U.S. Trade Representative in international intellectual property trade and harmonization efforts.

*Howard W. Bremer, Esq., Patent Counsel, Wisconsin Alumni Research Foundation*

*Mr. Pep Fuller, Office of U.S. Trade Representative*

*Lee Schroeder, Esq., Office of Legislative and International Affairs, U.S. Patent and Trademark Office*

3:30

**CLOSING REMARKS [Regency Ballroom West]**

4:00 - 6:00

**Meeting of AUTM Trustees [Directors]**



Remember to mark your calendars for  
*UPCOMING AUTM MEETINGS*

---

**AUTM/LES SUMMER MEETING 1990**  
**"From Patents to Profits"**

July 8th to 10th, 1990  
Westin Bayshore Hotel, Vancouver, British Columbia

Meeting Co-Chair - Dr. James Murray, Director, Industry Liaison  
University of British Columbia  
Meeting Co-Chair - Mr. Cec Rowley, Manager, Patents and Licensing  
MacMillan Bloedel Research

For the first time AUTM and LES are presenting a joint summer meeting in beautiful downtown Vancouver. Don't miss this opportunity to explore recent developments in patenting and licensing in North America with the added bonus of enjoying the majesty and opportunities of the Pacific Northwest.

The meeting will be held at the world class Westin Bayshore Hotel in the heart of Vancouver and will feature such topics as:

The LES Basic Licensing Seminar (as an adjunct on Sunday Afternoon)  
Bridging the Gap: University to Business  
Intellectual Property Protection  
Trade Secret Control and Licensing  
New Opportunities for International Technology Licensing

**AUTM ANNUAL MEETING 1991**

February 24 - 26th, 1991

The Fairmont Hotel, San Francisco, California

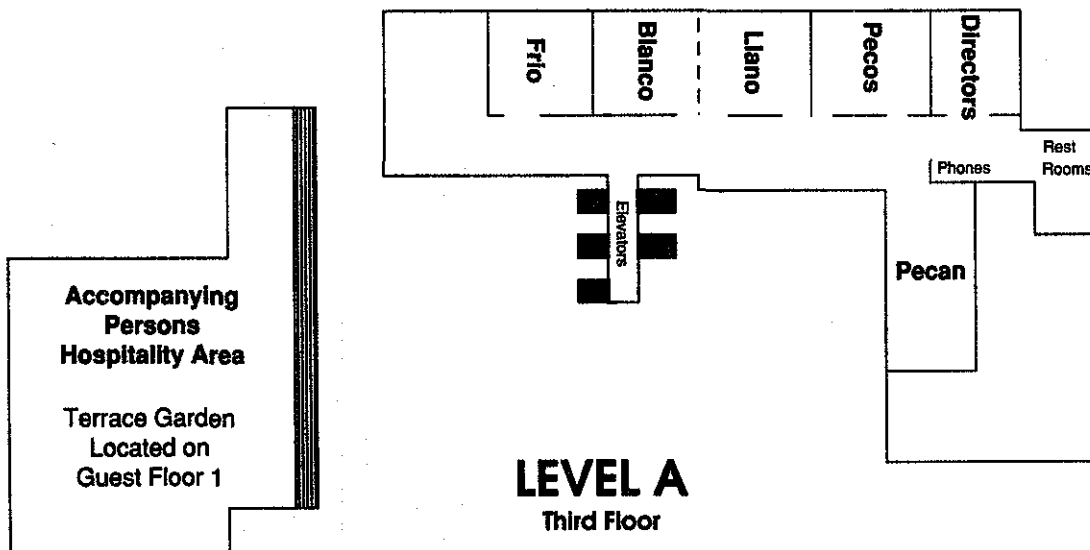
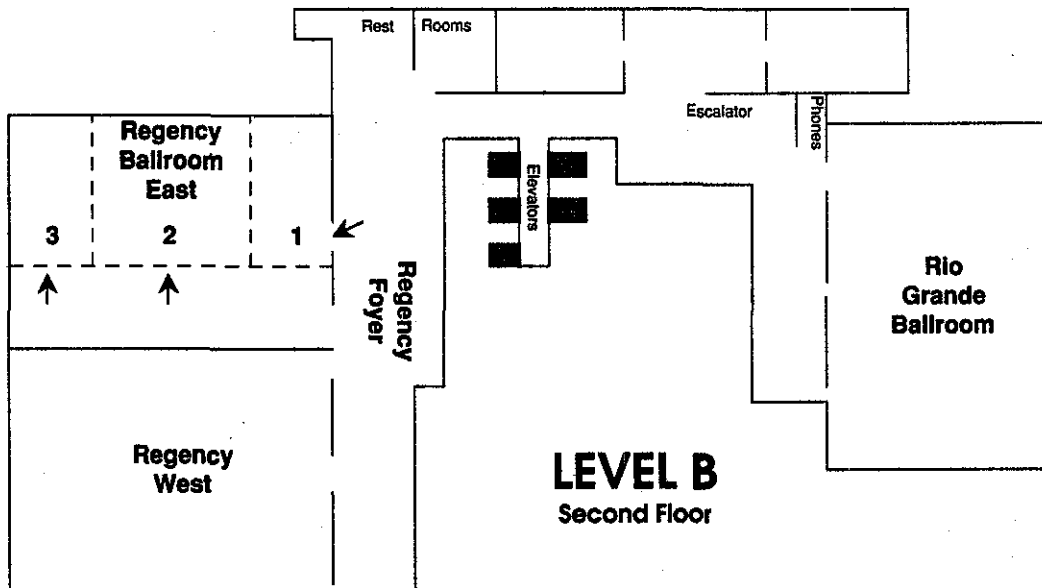
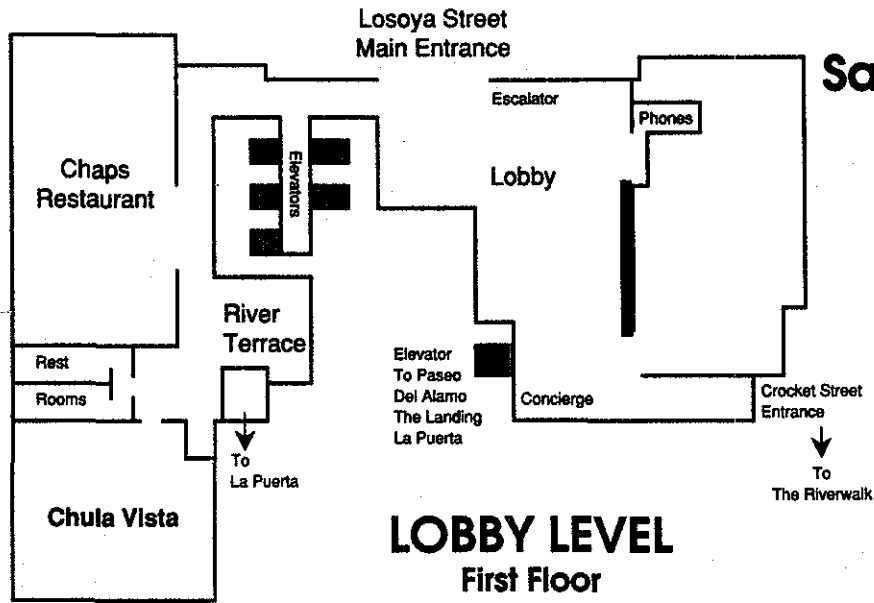
Meeting Chair - Dr. Martin Rachmeler, Director, Technology Transfer Office  
University of California at San Diego

---

If you have questions about **membership in AUTM**, you can receive all the appropriate materials by contacting:

Ms. Penny Dalziel  
Association of University Technology Managers  
71 East Avenue, Suite S  
Norwalk, CT 06851-4903  
203-852-7168  
Fax: 203-838-5714

# Hyatt Regency Hotel San Antonio



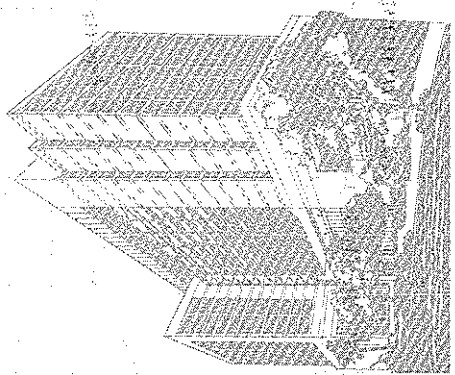
PLEASE  
PLACE  
STAMP  
HERE

# HYATT REGENCY® SAN ANTONIO

ON THE RIVERWALK AT PASEO DEL ALAMO

123 LOSOYA STREET  
SAN ANTONIO, TEXAS 78205 USA

ATTN: Reservations Dept.



AUTM Member  
December 1989  
Page Two

The 1990's are upon us and AUTM concerns are becoming more complex and challenging. Be informed; stay informed -- and have fun while doing it!

Sincerely,

*Ed MacCordy*

Ed MacCordy  
Program Chair

**Warning: Rooms are expected to go fast so don't find yourself staying a mile away. Register now!**