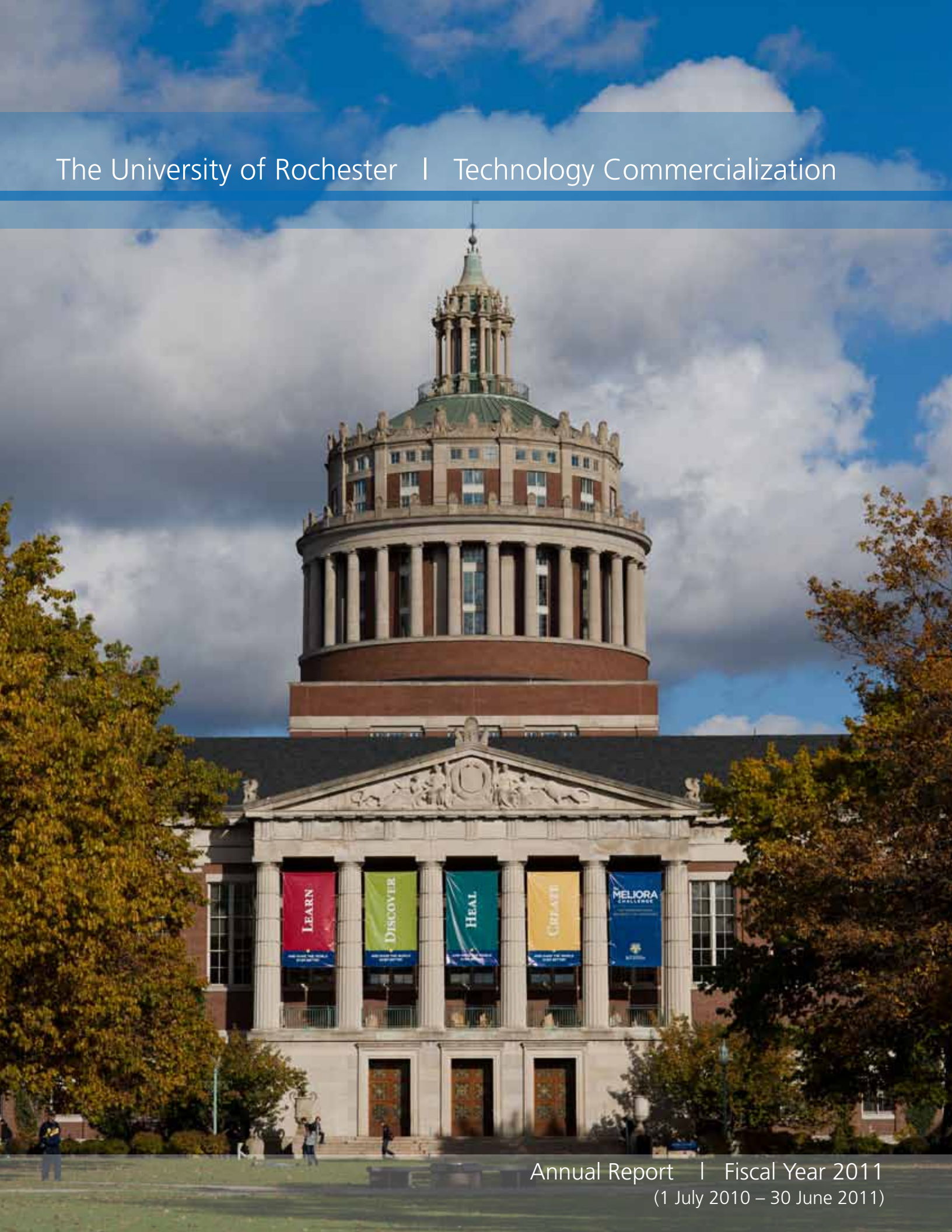
The University of Rochester | Technology Commercialization



Annual Report | Fiscal Year 2011

(1 July 2010 – 30 June 2011)

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Welcome

"Meliora" has long been the University of Rochester's motto. From the Latin phrase meaning "ever better," this declaration is inextricably linked to the University in the minds of our students, alumni, and faculty.

In 2011, we set out to complement our well-known motto with a mission statement. The challenge was to fashion a suitable way to articulate the meaning that "Meliora" holds for our institution. The result was **"Learn, Discover, Heal, Create — and Make the World Ever Better."** While this statement encompasses the diversity of scientific, educational, and creative activity that takes place across the University, we believe that it is the process of technology transfer that embodies the principle of making the world "ever better." The core function of technology transfer is to take the new ideas generated by our faculty and translate them into new commercial products, medical treatments, companies, and jobs that will ultimately benefit society.

The University of Rochester has a proud tradition of technological innovation. For example, our pioneering work in vaccine development has protected millions of children from life threatening infections and produced the world's first cancer vaccine.

As this report highlights, that tradition continues. Our scientists are now at the forefront of new research that could lead to a cancer treatment that strikes at the roots of disease, uncover new strategies to block the HIV from spreading in the body, develop a polymer that can transform itself from one shape to another, and help drug companies and regulators determine the safety of experimental therapies.

Technological innovation is driven by scientific inspiration. In order for these new ideas to be transferred for public use, however, they must first undergo a process of evaluation, intellectual property protection, marketing, and commercialization.

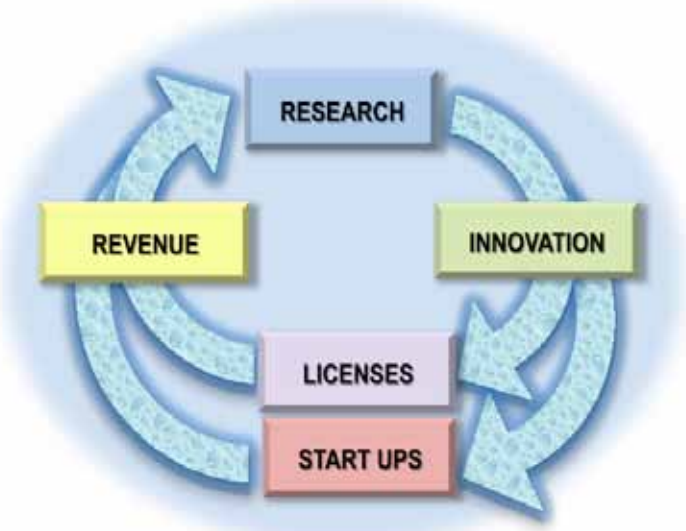
The function of technology transfer is to serve as the bridge between academic research and its commercial application so that our discoveries will improve people's lives. It is also to strengthen the essential role that universities play in our nation's knowledge-based economy. According to a former president of NASDAQ, some 30 percent of the index's total value is rooted in federally-funded, university-based innovation.

At the University of Rochester, we seek to strike a balance between matching University intellectual property with companies that are best positioned to bring these ideas to market and placing technologies with companies that will contribute to Greater Rochester's economic growth. While we still strive to find ways to improve our infrastructure so that our research and technology transfer processes continues to improve, we are proud of our accomplishments in FY 2011. Given the talent, intellectual strength, innovation, and strategic leadership at the University of Rochester, we believe that our best days are ahead of us.

Research Funding: Fueling Innovation

Research funding is the catalyst for the technology commercialization process. Grant awards not only provide the resources necessary to pursue specific scientific ideas, these investments also trigger a self sustaining "engine" that supports the University's research enterprise. As illustrated to the right, the University's researchers use funding to generate new technologies (innovation) which can then be licensed to companies for commercial development. Royalty revenue generated from these agreements then flows back to the University and is re-invested in our scientific infrastructure.

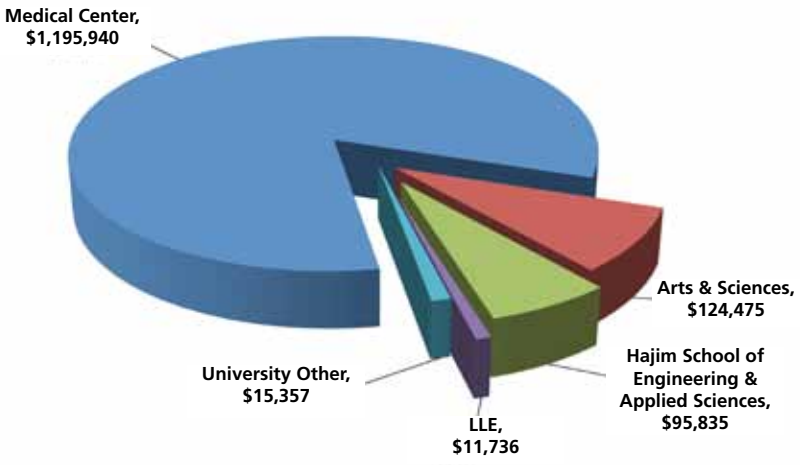
Investment in UR Research Creates "Self Sustaining" Engine



Funding Proposals Submitted

The funding proposal represents the first step in the process of discovery, collaboration, and the creation of intellectual property. The University of Rochester, though small when compared to many other research-intensive universities, has extremely productive faculty who submit a high volume of funding proposals. In FY 2011, 2,099 new, continuation, supplemental, and renewal proposals were submitted for funding to a variety of public and private sources.

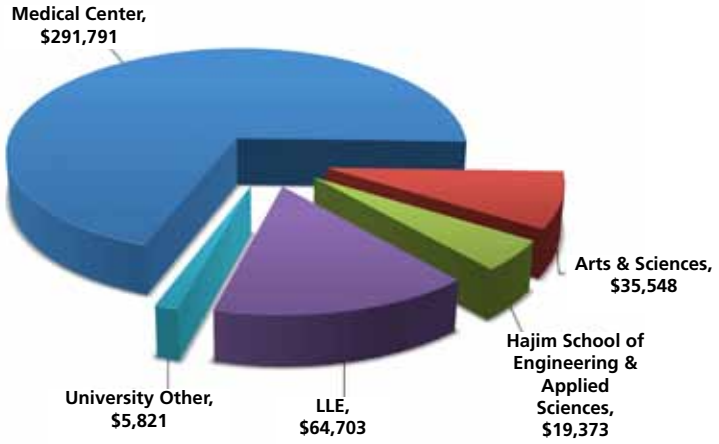
Funding Proposals Submitted
(in thousands of dollars)



Awards Received

The University of Rochester received more than $397 million in funding awards in FY 2011, plus nearly another $18 million in American Recovery and Reinvestment Act (ARRA) funding, for a total of $415 million. This figure represents a slight decrease from the record amount received by the University in FY 2010 – a phenomenon occurring at academic research institutions nationally following the national stimulus.

Funding Awards Received by Division
(in thousands of dollars)



Research Expenditures

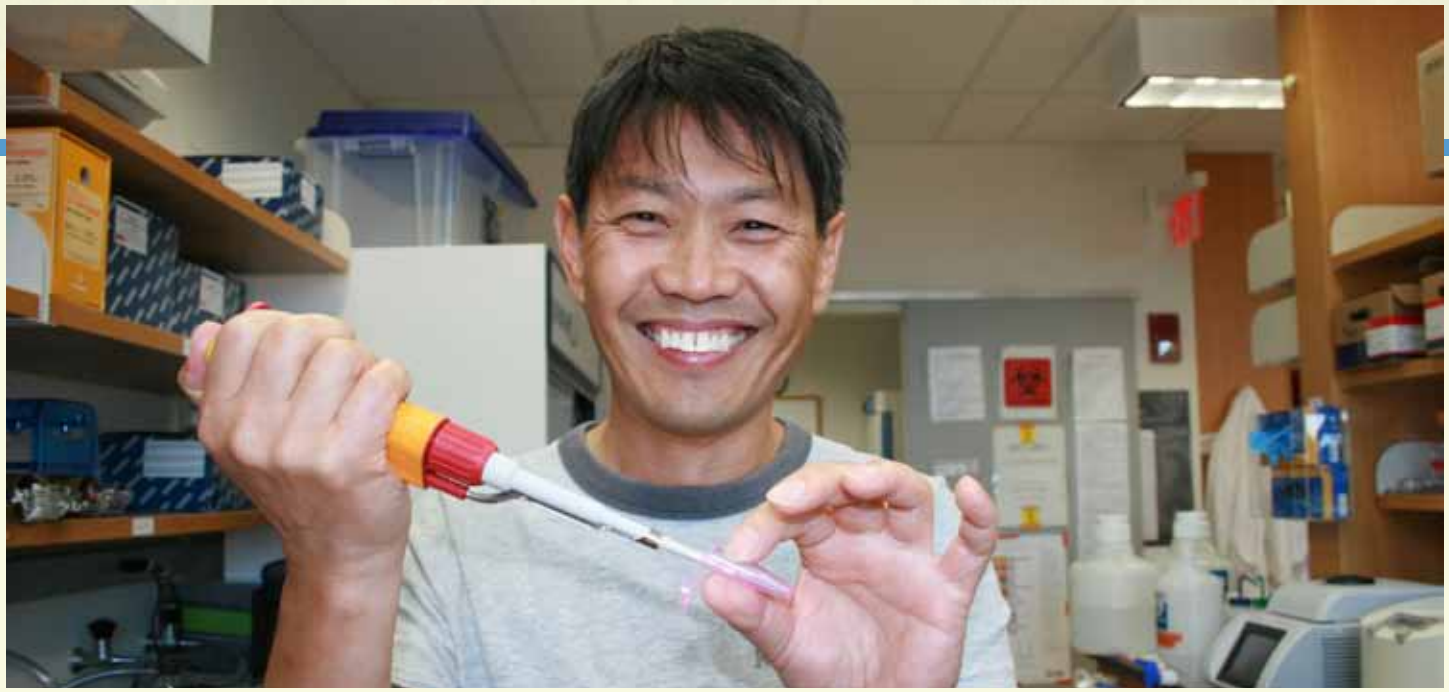
Sponsored program expenditures are widely used by universities for benchmarking purposes. At the University of Rochester, sponsored program expenditures grew by 3.7% to $407 million in FY 2011. This increase can be primarily attributed to ARRA-related project funding that was committed to the University in previous years.

Federally funded research expenditures increased by about 6% in FY 2011, with funding in the Public Health Service category (which includes the National Institutes of Health) comprising the vast majority of sponsored research activity.

Research Profiles

America's great universities create the fundamental research that has the potential to improve our lives and form the basis for the next generation of technology-driven products and companies. The University of Rochester — which has a long and distinguished history of scientific achievement — is a case in point. From the early days of ultrasound to synthetic lung surfactant, from Lasik surgery and immunological research that has made possible new and better vaccinations to the technology found in almost every desktop printer, Rochester has long been at the forefront of innovation. These Rochester-developed technologies now positively impact the lives of millions across the globe.

Today, our researchers continue to seek solutions to society's most daunting problems.



Professor Baek Kim of the Department of Microbiology and Immunology

New Front in Effort to Stop HIV

Like a criminal who unexpectedly hides among police officers, the HIV virus takes cover in the macrophage, an immune cell whose very job is to chew up and destroy foreign invaders and cellular debris. It's thanks largely to this ability to hide that HIV is able to survive in the body for decades and ultimately win out against the body's relentless immune assault.

Baek Kim, Ph.D. has spent 15 years trying to sniff out the secret behind HIV's ability to exploit the unusual molecular makeup of macrophages to gain its foothold in the immune system. While more than 20 drugs are currently used to combat HIV, those only go after the infection once it has become firmly established.

"These drugs are made to help already sick people, not to prevent infection," says Kim, professor of microbiology and immunology.

Working with scientists at Emory, Kim found that the virus is somehow able to sidestep its usual way of replicating when it's in the macrophage. When HIV faces a shortage of the molecular machinery that is normally needed to copy itself within the macrophage, the virus adapts by bypassing one of the molecules it usually uses and instead tapping another molecule that is available.

When the team blocked the ability of the virus to interact with its surprise partner in the macrophage, HIV's ability to replicate in the cell was slashed by more than 90 percent.

The new research opens up the possibility of targeting the virus in macrophages, where the virus is out of reach of most of today's drugs.

"If we have a drug that blocks HIV replicating in the macrophage, then we can use it as a preventive medication," says Kim. "Perhaps we can use this information to help create a microbicide to stop the virus or limit its activity much earlier."

Thanks to the new findings, the team has identified and plans to test an experimental compound derived from wild mushrooms that holds promise as an anti-HIV compound.

Research Partnership Explores Novel Method to Deliver Anti-Cancer "Payload"

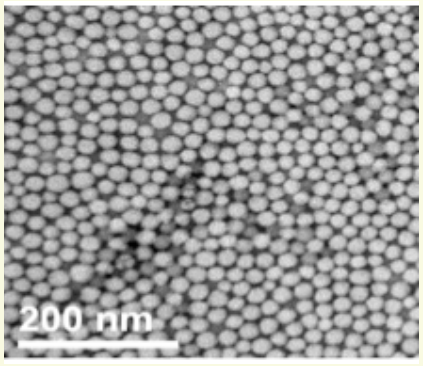
It is a familiar problem in therapeutic medical research: a scientist identifies a compound that acts upon an identified molecular target that has the potential to treat a disease but subsequently finds it difficult to deliver the compound to its intended target effectively.

James P. Wilmot Cancer Center scientist Craig Jordan, Ph.D. was facing such a dilemma. He and his colleagues have identified a compound called parthenolide — derived from the daisy-like plant known as feverfew or bachelor's button — that has the potential to revolutionize the treatment of certain types of leukemia and other cancers. Traditional leukemia treatments are effective in killing a cancer's actively dividing cells, but do not affect the rogue stem cells at the root of the disease that lie dormant and ultimately cause relapses. Parthenolide has the capability to destroy both the dividing cells and the rogue stem cells.

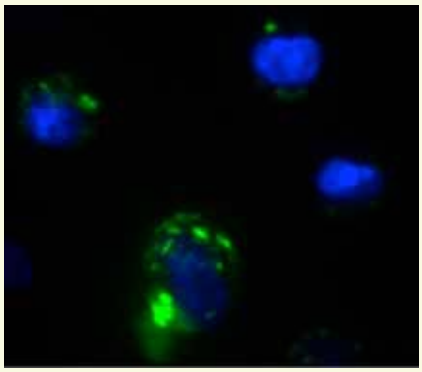
Parthenolide, however, is not water-soluble and will not easily absorb into the body's tissues. While a synthetic version of the compound that overcomes this problem has been developed and is currently undergoing clinical trials, a new research collaboration is exploring a novel way to deliver this compound more effectively to its intended target.

Jordan has partnered with Danielle Benoit, Ph.D. in the Department of Biomedical Engineering in an effort to create a new delivery vehicle for the compound. Using highly controlled polymers, Benoit is able to create nano-sized "spheres" that house the parthenolide molecules and are able to move freely within the body's circulatory system. The exterior of the spheres can be engineered to include a specific antibody – a protein used by the immune system to identify and neutralize specific targets. The antibody is attracted to the cancer stem cell and it guides the sphere through the body to its destination. Once it arrives, the sphere attaches itself to the cancer cells and releases the compound over a period of time.

Research funded by the Alex's Lemonade Stand Foundation and the Leukemia Research Foundation has begun to test this approach in animal models.



Nano-sized "spheres" used to house the anti-cancer compound parthenolide.



Leukemia cell receptors (stained green) used by antibodies to guide the spheres to their target.

Intellectual Property: Converting Ideas into New Technologies

Invention Disclosures

In FY 2011, the Offices of Technology Transfer received 128 invention disclosures — an increase of 4% from the previous year. Those disclosures named 228 inventors from 56 University departments and units, 16 collaborators from 15 other universities and research hospitals, and 6 collaborators from 5 for-profit, private, or governmental organizations.

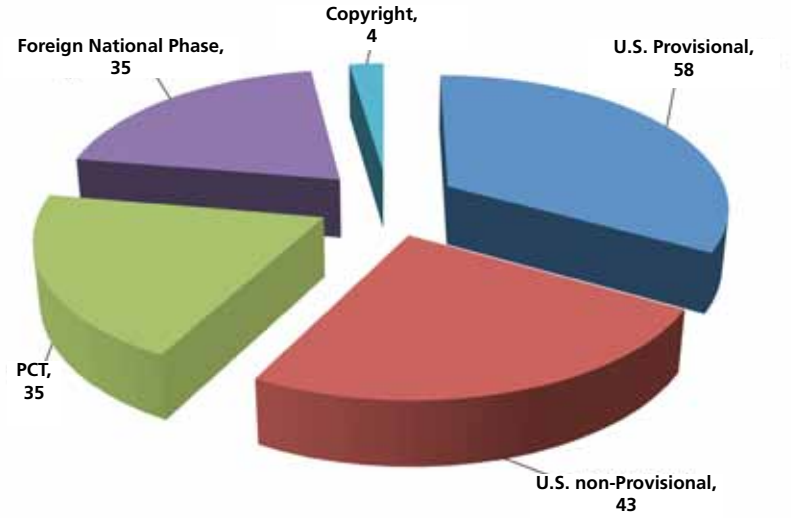
Disclosed inventions covered a broad range of scientific endeavors, including:

- A shape-memory elastomer that can transform from one shape to another;
- A stacked optical antenna for high-speed photo detection, light emission, single photon emission, or solar energy collection;
- A fracture-resistant ceramic material useful for dental restorations and implants;
- A method and device to detect breast cancer more rapidly and accurately than current mammographic techniques; and
- Implantable lenses to correct for age-related presbyopia.

Intellectual Property Protection

In order to commercialize new technologies more effectively, universities often seek protection for their intellectual property. At the University of Rochester, 4 copyright registrations and 171 patent applications were filed in FY 2011. Of those patent applications, 54 were new matter filings, while 117 were continuations of applications first filed in previous years.

Copyright and Patent Applications Filed in FY 2011 (by application type)



Patents Issued

In FY 2011, the University of Rochester was granted 27 U.S. patents and 22 foreign patents. This was a marked increase from FY 2010, in which 19 U.S. and 20 foreign patents were issued to the University. These 49 patents in FY 2011 cover 33 technologies.

Of the 27 U.S. patents, 17 pertain to the life sciences (6 diagnostics, 6 therapeutics, 3 research tools, 1 medical/surgical device, and 1 vaccine), while 10 pertain to the physical sciences (3 computer hardware, 2 nanotechnology, and 1 each in communications, energy, optics, computer software, and materials).

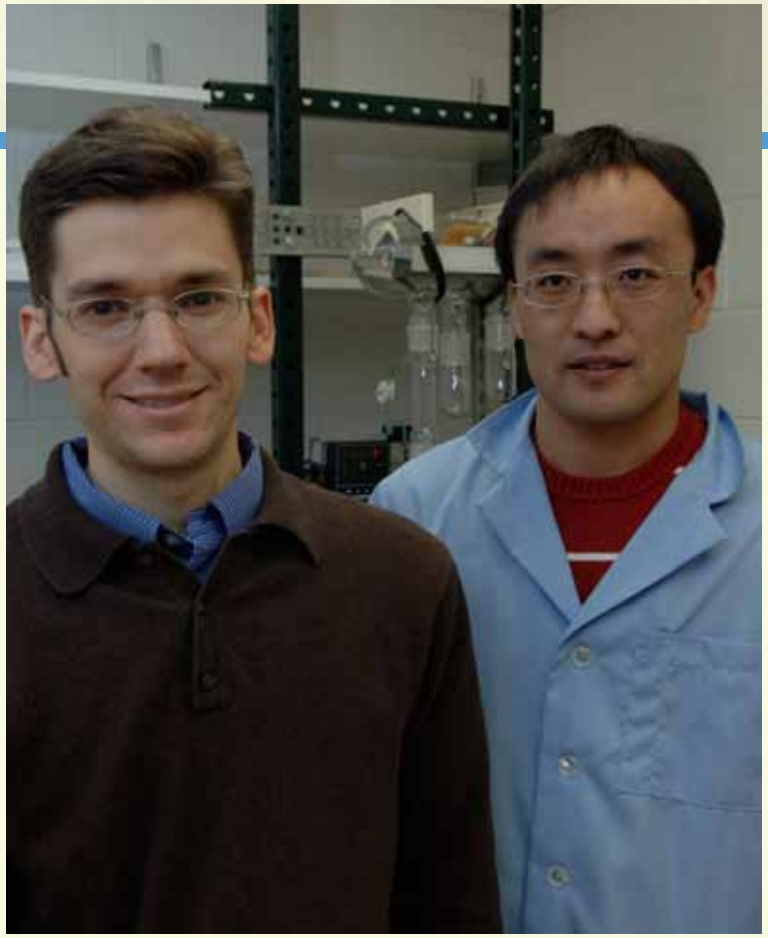
Patent Awarded for New Polymers That Can Change Shape on Command

The University of Rochester has received a patent for a new class of elastomers or polymers — networks of chained molecules that can be precisely manipulated to transform from one shape to another. The material, called shape memory polymer, has a broad range of potential applications, including self-sealing sutures, medical implants, conforming face-masks, and personalized protective gear.

While shape memory polymers are not new, Mitchell Anthamatten, Ph.D., an associate professor of chemical engineering, has devised a novel way to control how the polymer transitions from one form to the next. He has also developed a material that is softer and, unlike other shape memory polymers, can be formed into a wider range of shapes, from thin films to more complex three dimensional objects.

"These materials can be contorted and pinned into different shapes while at a lower temperature," said Anthamatten. "However, they will always remember an original 'programmed shape' that they are constantly seeking to return to."

Anthamatten has developed an innovative method by which the polymers maintain their temporary state and the rate at which the material returns to their permanent shape. The key is a system of hydrogen bonds that — like a network of magnets — hold the polymer in its temporary state. Once exposed to heat, the bonds more rapidly release, returning the polymer to its original form. By altering the number and placement of the bonds and the sample temperature, Anthamatten can precisely control the rate of transformation.



Professor Mitchell Anthamatten, and post-doctoral assistant Jiahui Li, of the Department of Chemical Engineering

There is a long list of potential uses for the technology, and Anthamatten has been approached by a number of interested companies. Anthamatten believes that the polymers — which can be engineered to be biocompatible — have significant potential for medical applications in particular. For example, a medical implant using the polymer could be contorted into a shape that would enable it to be inserted using a minimally invasive surgery. Once inside, the body's natural heat would gradually cause the implant to assume its designed shape and properties.

Technology Licensing: Harnessing Innovation to Benefit Society

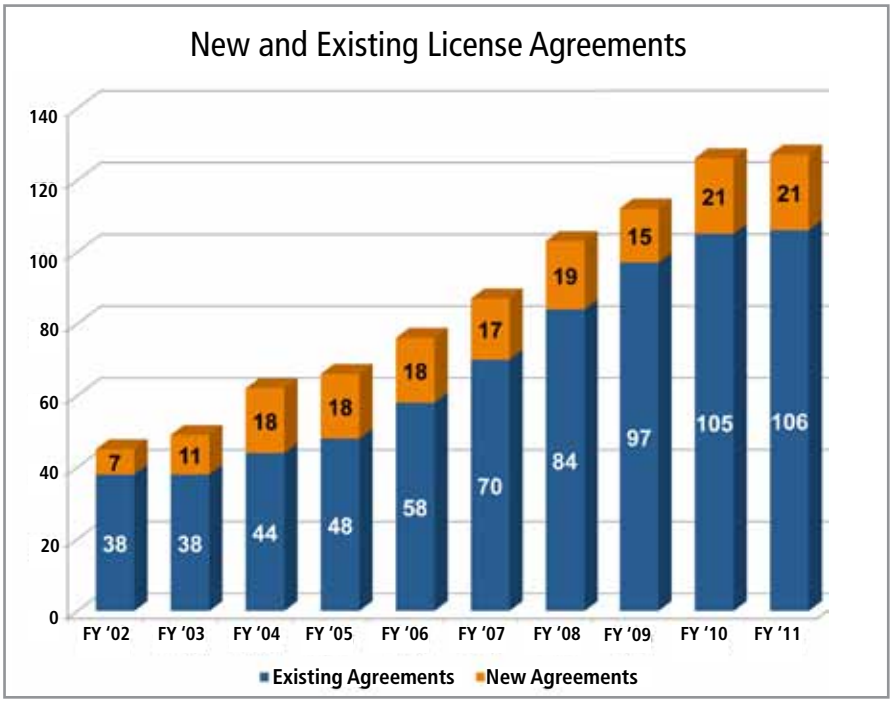
The University of Rochester is firmly committed to translating our research into products and services that benefit society. We embrace our role as the bridge from science to everyday application and apply it across the spectrum of our research efforts. At the same time, we realize that the University can only take a new technology so far. It is therefore critical that we work closely with entrepreneurs, investors, community resources, and industry partners to translate our discoveries into new products and services.

Licensing Agreements

The University successfully completed 22 new licensing agreements in FY 2011. These included 3 exclusive licenses, 10 non-exclusive licenses, 3 exclusive options, 2 copyright licenses, 1 data use agreement, 1 biological materials license, 1 research license agreement, and 1 software license. In addition, 12 amendments to existing agreements were negotiated at the request of licensees to respond to changing circumstances.

Of the 22 new agreements, 10 were with existing pharmaceutical, biotechnology, or medical device companies, 9 were with companies in the start-up stage, and the remaining 3 were with healthcare, governmental, or development organizations.

The University has experienced a steady growth in the number of technologies licensed to the private sector. Over the past 10 years, the number of existing University agreements increased by 180%. The University is also striking these agreements at a faster pace and the number of new license agreements negotiated annually has tripled since FY 2002.



Licensing Royalties

While royalty revenue generated from licensing is not the only metric of success, it is an important measure of the public utility of technologies discovered at the University. It also reflects the degree to which licensees have advanced the development of new products and services for the benefit of society.

Royalty revenues exceeded $41.8 million in FY 2011 — a modest increase from FY 2010. This increase can be credited, in part, to the continued success of the University's Blue Noise Mask technologies. The Association of University Technology Managers (AUTM) recently released the results of its annual survey of technology transfer activities for FY 2010. After spending eight years ranked among the top ten national universities in revenue generation, the University slipped to 14th in FY 2009. In FY 2010, the University rose slightly to 12th.

When measured against our peers, the University of Rochester is one of the most productive institutions in the nation in terms of royalty generation. Using a three year average (FY 2008 - FY 2010), the University ranks 11th in overall royalty revenue generated.

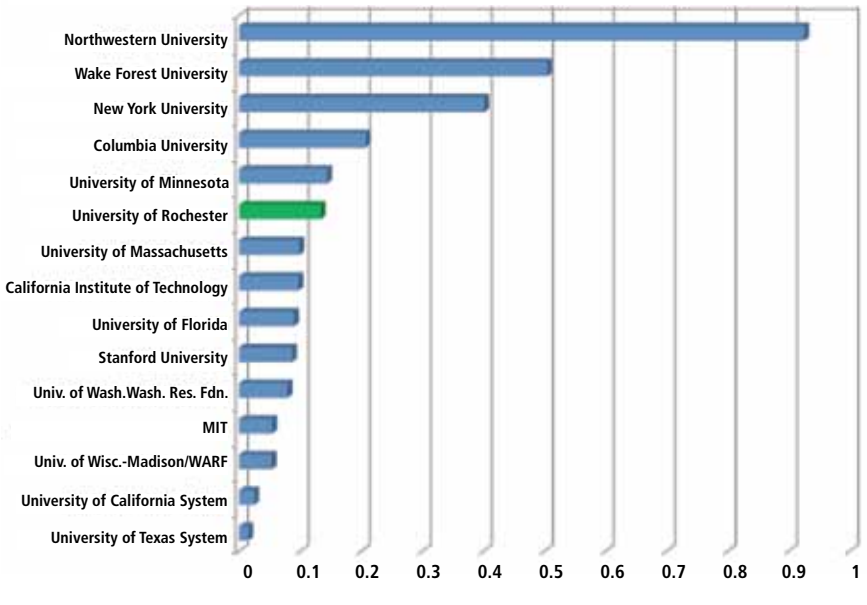
When licensing revenue is normalized across top-earning institutions according to the size of the research enterprise, the University rises to 6th in the nation.

Mean Licensing Revenue Received
(FY '08 - FY '10)

Institution	Mean Licensing Revenue
Northwestern University*	$388,617,641
Columbia University	$145,256,402
New York University	$131,918,088
University of California System	$117,951,204
Wake Forest University	$90,544,582
University of Minnesota System	$87,914,489
U. of Washington/Washington Res. Fdn.	$78,900,944
Massachusetts Inst. of Technology	$74,858,167
Stanford University	$64,344,999
Univ. of Wisconsin-Madison/WARF	$55,048,000
University of Rochester	**$53,317,852**
California Inst. of Technology	$49,623,842
University of Massachusetts System	$48,851,711
University of Florida	$45,122,650
University of Texas System	$34,932,117

*Includes monetization of royalty payments associated with the drug Lyrica.

Ratio of Licensing Revenue
Normalized against Research Expenditures
(FY '08 - '10)



Start Up Creation

The University of Rochester plays an important role in transferring University technology and innovation to the commercial marketplace. Sometimes, this means fostering the incubation of a new business as it converts a concept to reality. University of Rochester technologies were the basis of two new businesses formed in FY 2011. One of these companies began in the Rochester community and the other is considering opening an operation here in order to be closer to the inventors' expertise.

Clarelast, LLC

Clarelast was formed to provide software modules and ultrasound probes that can be used with existing Doppler ultrasound machines to provide accurate measurements of tissue fat content and stiffness. The University technologies, invented by Christopher Barry, M.D., Ph.D., et al., are particularly suited to the noninvasive study of fatty liver disease and liver fibrosis.

Lucifics, Inc.

Lucifics is a photodynamic therapy company created in Boston that is contemplating a license for a suite of University technologies invented by Thomas Foster, Ph.D., et al.

iCardiac Technologies Finds Growing Demand for Drug Safety Software

Cisapride, Micturin, Seldane, Triludan, Raxar, and Propulsid are only a few of the dozens of drugs that were approved by the FDA but subsequently pulled from the market because of their potential to cause adverse cardiac events such as arrhythmias and heart attacks. Not only do these occurrences pose a risk to public health, they represent a loss to drug companies of billions of dollars that were invested to develop and bring these drugs to market.

The pharmaceutical industry and federal regulators have long sought an accurate way of predicting the cardiac risk of an experimental drug and to do so early in the clinical evaluation process — thereby preventing dangerous drugs from entering the market and enabling companies to cut losses before more money is invested in research.

Rochester-based iCardiac Technologies, formed in 2006, is at the forefront of this effort and has developed a unique technology that enables drug companies to determine quickly and more precisely whether an experimental drug is toxic to the heart.

The company's core technology was created by University of Rochester Medical Center biomedical engineer Jean-Philippe Couderc, Ph.D. It consists of software that provides a more accurate and reliable method to analyze data from electrocardiograms (ECGs) and other types of heart monitors worn by participants in clinical trials. The software allows researchers to evaluate data produced by ECGs — including the QT interval — to identify specific risks associated with a new drug. The QT interval measures the process of ventricular repolarization — the split-second period between the heart's excitation and recovery phase that can be an important determinant of a drug's safety. The software was developed with the support of the NIH and the FDA and emerged from the University of Rochester's Heart Research Follow-up Program — home to an international database of an inherited condition called long QT syndrome that is similar to the drug-induced disorder.

Since obtaining the license, iCardiac Technologies has partnered with Pfizer in a multi-year research project to refine and improve the precision of the technology. The software can now also weed out the false-positive results that can occur in as many as 25 percent of drugs that are under evaluation. The demand for the company's services has grown steadily over the last several years. The company now consists of more than 50 employees and has worked with more than 30 small, medium, and large pharmaceutical companies from across the globe. During the same period, its revenues have grown by more than 40 percent.

Making the World Ever Better

Throughout its 157-year history, the University of Rochester has been committed to improving the local community and the lives of people across the globe. Ranked as the sixth largest private employer in New York State and the largest employer in the Greater Rochester area, the University is an engine for the region's economy. Beyond Rochester, University technologies have improved the lives of millions in myriad ways, from making life possible for thousands of prematurely born infants, to protecting children and adults from diseases like cancer.

Robert Rose, Richard Reichman, and William Bonnez

A Step Toward Stopping Cancer

Tens of millions of girls across the world are protected against a deadly form of cancer, thanks to the vaccine against human papillomavirus (HPV) that was made possible through work by a trio of virologists at the University of Rochester Medical Center.

But the initial goal was not so grand or mighty as stopping cancer. The project, launched in the late 1980s, was aimed simply at developing a blood test to detect HPV infection, best known for causing warts.

There was the usual painstaking work in the laboratory, of course, but soon the researchers found themselves searching for clues in unexpected places. There were visits to local veterinarians to collect scrapings of giant cow warts, for instance — so that the scientists could gather enough papillomavirus for study — and trips to convents seeking intimate details about the sexual histories of nuns, part of an effort to create a control group of people unlikely to be infected with HPV.

It wasn't long before the team discovered that the three-dimensional outer shell of the virus was crucial to creating an immune response that could prevent infection. Then the team created a way to make safe, non-infectious virus-like particles to trigger the same immune response and showed that they protected against infection — the essence of any vaccine. And they connected with biotech firm MedImmune at a crucial juncture to keep the technology alive.

Soon, Richard Reichman, M.D., William Bonnez, M.D., and Robert Rose, Ph.D. were VIPs in the world of infectious disease. They were the first to test an HPV vaccine in people and are credited — along with scientists at several other institutions — with creating technology crucial to the vaccine that has been proven to protect girls against HPV, which causes cervical cancer, a disease that claims an estimated 230,000 lives globally each year.

The most common sexually transmitted disease, HPV infects an estimated 15,000 people in the United States alone every single day, causing cancers of the genitals and throat as well. Since 2006, when the first vaccine was approved, more than 50 million doses of Gardasil and Cervarix have been distributed to date to girls, boys, young women, and young men, across four continents — Europe, North America, Asia, and Australia.

This Annual Report highlights only a handful of research and commercial innovations that were born at the University of Rochester. Below is a summary of many of the other accomplishments of the past year:

Medical Air Transport

A study led by Mark Gestring, M.D., director of the Kessler Trauma Center at the University, found that severely injured patients transported by helicopter from the scene of an accident are more likely to survive than those brought by ambulance. The study demonstrated that air medical transport is an essential community resource that can make trauma center care more accessible. Gestring serves as a volunteer board member for Mercy Flight Central, a local air medical services company.

Brain Tumors

Scientists have identified the type of cell that is at the origin of brain tumors known as oligodendrogliomas — part of a family of cancers that are the most common type of malignant brain tumors. The work comes at a time when many researchers are actively investigating the role that rogue stem cells play in causing cancer.

Modern Medical Informatics

The University of Rochester and Rochester Institute of Technology have partnered to bolster two crucial elements of health care reform in the United States — the widespread application of information technology to health care and the adoption of electronic health records. The two institutions have leveraged their strengths in technology and health care to create a joint master's degree in medical informatics. It is the first time that the universities have collaborated to offer a joint degree program.

Parasitic "River Blindness"

University of Rochester biologist John Jaenike, Ph.D. has been awarded a $100,000 Grand Challenges Explorations grant from the Bill & Melinda Gates Foundation. These highly competitive grants are awarded to scientists performing global health research that falls outside of current scientific paradigms. Jaenike will use the grant to study a novel approach to reduce the incidence of river blindness, an eyesight-destroying disease that is prevalent in sub-Saharan Africa. The condition is spread by black flies that carry the parasitic worms responsible for the disease.

HIV Vaccine Study

The University of Rochester Medical Center's HIV vaccine clinical trials unit has opened a satellite clinic in downtown Buffalo to make it easier for volunteers in western New York to participate in vaccine trials. The new location is a collaboration with AIDS Community Services of Western New York. The Medical Center was one of the first sites in the nation to conduct HIV vaccine research studies, beginning in 1988. Since then, nearly 1,300 people from the Rochester area have participated in more than 50 vaccine research trials.

Improving Eyesight

A technology created by University of Rochester physicians and scientists has helped boost the eyesight of patients to unprecedented levels and is now being widely used, thanks to approval by the FDA. The technology, called the Rochester Nomogram, marks a leap forward in vision correction for patients who receive refractive surgery, also broadly known as LASIK. Refractive surgeon Scott MacRae, M.D. helped develop the formula.

Video Games as Training Tools

Cognitive scientists from the University of Rochester have discovered that playing action video games trains people to make the right decisions faster. Daphne Bavelier, Ph.D., Alexandre Pouget, Ph.D., and C. Shawn Green, Ph.D. found that video game players develop a heightened sensitivity to what is going on around them. This skill doesn't just make them better at playing video games, it also improves a wide variety of general skills that can help with everyday activities such as multitasking, driving, reading small print, keeping track of friends in a crowd, and navigating around town. Their research indicates that video games could provide a potent training regimen for speeding up reactions in many types of real-life situations.

Kidney Surgery

James P. Wilmot Cancer Center surgeons have become the first in the nation to use a new, infrared imaging technique combined with robot-assisted surgery to remove kidney cancer. The team, led by Dragan Golijanin, M.D., has successfully performed robotic laparoscopic partial nephrectomies on patients at Strong Memorial Hospital using the new technology.

Telemedicine

The Health-e-Access program reached a huge milestone with its 10,000 telemedicine visits since the program began in May 2001. The program, created by pediatricians at the University of Rochester Medical Center, has expanded beyond its initial focus of children in city child care programs to include every Rochester city school. Using internet-based communication and specialized equipment, the program connects health care providers with sick children at convenient community locations to diagnose common childhood illnesses and prescribe medication as appropriate.

Start-Up Funding

A $2 million grant from New York State to Excell Partners — a not-for-profit corporation formed in 2005 through an agreement with University of Rochester Medical Center — will promote the creation and growth of early-stage, high-tech start-ups and emerging companies.

Cancer Center Research Partnership

The James P. Wilmot Cancer Center and Roswell Park Cancer Institute initiated a feasibility study to explore a potential research partnership. Collaboration between upstate New York's two largest cancer research facilities could produce a scientific powerhouse, enhancing faculty recruitment, funding, and the development of larger research studies.

Better Back Braces

A group of biomedical engineering students at the University of Rochester has received recognition for developing back braces that are safer and easier to use after surgery, and for their plans to commercialize the device. Frances Bell, Jacy Krystal Bulaon, and Swapna Kumar, whose project is called DonDoff Solutions, have devised a system to help patients get into (don) and out of (doff) their braces throughout the recovery process. They have developed working prototypes of the entire system. DonDoff Solutions won third place honors in the New York State Business Plan Competition this year and tied for second place in the Charles and Janet Forbes Entrepreneurial Competition.

Dedication

This annual report is dedicated in memory of L. Jackson "Jack" Fraser, deputy director of the Office of Technology Transfer for Arts, Sciences and Engineering, who died on March 7, 2011 at age 71. Fraser joined the University in 2000 and also served as an adjunct professor of entrepreneurship at the Simon School. He was awarded 14 patents during his more than 30-year tenure at Xerox.

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