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Guidelines for SBIR and STTR

UCLA faculty are increasingly interested in participating in the government’s Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs. These are wonderful programs and offer much higher funding levels than the research series of grants, often times funding up to 40% of applications. Faculty may participate in a SBIR or STTR but only by working at UCLA on a subcontract from a small business that has received a SBIR or STTR award, or as a consultant to the small business applicant. Faculty may not submit a grant directly to the agency as a PI because the PI for the grant must be employed by the company for more than 51% of their time. In addition, under the Academic Personnel Manual 025, faculty must seek prior permission from the Vice Chancellor of Academic Personnel to have their student’s work brought with

them to an outside company in which the faculty has financial interests. UCLA has developed guidelines that outline the federal SBIR and STTR program requirements. These guidelines highlight some of the ways in which UCLA tries to manage the potential conflicts of interest and conflicts of commitment that can arise in these situations.

These are wonderful programs and offer much higher funding levels

Links to these guidelines along with more information regarding submission of research proposals, proposal

preparation and submission can be found online at: www.research.ucla.edu/oip/SBIR-STTR.pdf. Questions about submission of proposals to small business applicants, negotiation of resulting subcontracts, or development of intellectual property plans should be directed to the Director of Industry Sponsored Research at 310-794-0558.

Kathryn’s Korner



This newsletter, the last of our first year of operation, highlights a variety of articles on ‘partnerships’. Partnerships are key to multidisciplinary research, to productive teams in a company, and to a successful patent application. Basically, having a partner brings the valuable opportunity to have more than one set of expertise applied to a problem. Our industry sponsored research section highlights Dr. Farhad Parhami whose recent collaboration with a Venture Capital firm has led to exciting research breakthroughs. A new social networking website, iBridge offers new ways for faculty and students to find research collaborators around the country. And, our listing of issued patents demonstrates how discoveries increasingly involve multiple inventors! Not a solo patent in the bunch. What is the message here? Team up and increase your productivity and your success. No (wo)man is an island.

Enjoy the summer. We’ll be back with volume 2 in the fall.

Sincerely,

Kathryn Atchison, D.D.S., M.P.H.

Vice Provost, Intellectual Property and Industry Relations

Associate Vice Chancellor for Research

Student Entrepreneurship

Successful entrepreneurs like Sergey Brin and Larry Page (co-founders, Google), as well as Mark Zuckerberg (CEO, Facebook) all have one thing in common – their ideas materialized when they were students. To encourage entrepreneurship, UCLA provides a variety of support for its students and researchers with entrepreneurial ambitions.

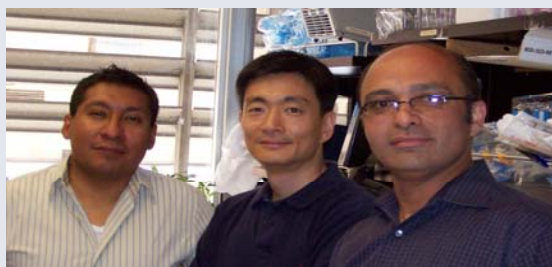
In its role in deploying patented technologies to the market, OIP-ISR provides resources on its website for UCLA's academic community interested in starting a company. In addition, OIP-ISR admits a select number of UCLA students to its summer internship program which can launch students into start-ups, VCs, and law firms.

The Harold and Pauline Price Center for Entrepreneurial Studies (<http://www.anderson.ucla.edu/x554.xml>) in the Anderson School of Management offers internships to support MBA students involved in entrepreneurial endeavors.

See "Entrepreneurship",

Continued on Page 4

Inventor Spotlight: The Path to Re-Growing Bones



From left to right: Members of Parhami Lab. Vicente Meliton, Dr. Woo-Kyun Kim, and Dr. Farhad Parhami

Five years ago, Farhad Parhami Ph.D., Professor in Residence, Cardiology and his team discovered a biosynthetic pathway for turning cells into bone forming cells (osteoblasts). What followed was the discovery of molecules, called oxysterols, that stimulate bone growth. With Dr. Michael Jung from Chemistry and Biochemistry, they synthesized a more potent and effective version of the original oxysterols. Dr. Parhami anticipates these small molecules being useful for becoming bone-forming agents that could stimulate bone growth in patients with bone weakness such as osteoporosis. These molecules could lead to better management of this disease because of the potential to stimulate positive bone growth rather than simply prevent further decay, as current medication does. Among other uses for this research include a new way to treat incorrectly healed bones that is both cheaper and has fewer adverse effects than the current treatment. This is showing great promise in the current animal trials that Dr. Parhami has started in collaboration with Dr. Jeffrey Wang, at the UCLA Department of Orthopedic Surgery; these tests will soon progress to the human-testing phase.

As with most research, Dr. Parhami

and his collaborators had great ideas but limited funds. Two years ago, he presented his research to Arch Ventures who suggested that one of their companies, Fate Therapeutics, Inc., might be a good match as an industry collaborator. Fate reviewed Dr. Parhami's research and based on encouraging results, provided some "initial sponsored research support" to continue his pre-clinical studies. With positive results, Dr. Parhami decided to license key intellectual property to commercially advance the team's work.

Dr. Parhami states, "having an industry partner is essential to a successful translational research project where a technology such as ours is developed for use in humans." As Dr. Parhami explains, while researchers can usually begin their research at the University, the addition of an industry sponsor allows access to people who have the expertise necessary for drug development and other critical research milestones before a research idea can become a product on the market. It can also provide researchers with "substantial financial resources" which are increasingly hard to find.

With funding in place, Dr. Parhami's next step is to begin performing the pre-clinical studies for his bone formation compounds in order to create "the next generation of therapeutic agents for intervention in osteo-regenerative indications." Because of the importance these technologies could have on the future market, he believes that the project will "continue to provide opportunities for students and trainees for becoming involved in cutting edge research while acquiring important skills in translational research." Thanks to an original idea and generous funding, Dr. Parhami and his team anticipate improvements in the lives of patients as well as continued positive growth for the university.

Copyright—Purchasing Photos for your Department



When creating a brochure or updating a department's website, faculty and staff often need images. Faculty and staff often purchase photos or membership to photo databases for their departmental needs. Purchasing images with a personal credit card, while convenient, may negatively affect your reimbursement as the University Purchasing Department must have a vendor agreement in place to make payments. In addition, buying a photo from an online photo agency or signing up for membership in an online database without going through the Purchasing Department may have caused you to inadvertently agree to liability or other terms to which the University would not or could not agree.

OIP-ISR, Campus Counsel and Purchasing will be negotiating with UCLA's preferred vendors such as Getty Images to set up agreements that will allow departments to make these purchases quickly and efficiently, and at preferred pricing. Stay tuned for updates, and if there are vendors that you frequently use or expect to use, contact Debra Dorris in Purchasing at 310-794-6031 or ddorris@finance.ucla.edu.

Meet the Staff–Lillian Smith Director, Industry Sponsored Research



Lillian Smith, J.D.

In the Office of Intellectual Property and Industry Sponsored Research (OIP-ISR), the area of Industry Sponsored Research (ISR) among other things, acts as the liaison between UCLA faculty and their industry sponsors to help facilitate research and positive relationships. To lead this team of intelligent, motivated individuals is Lillian Smith, a staff member since 2006 who recently transitioned from interim to the first permanent Director of ISR. In this position, Lillian's focus will be directed more exclusively on sponsored research collaborations.

As a precursor for this job, Lillian practiced law for over 7 years in the area of intellectual property with clients such as Apple Computers, Samsung and Honeywell, who also happen to be sponsors of research at UCLA, as well as more adventurous activities such as climbing to the summit of Mount Kilimanjaro.

No stranger to a challenge, Lillian's future goals for the ISR include furthering improvements with industry sponsors and their PIs by encouraging better understanding between the office, faculty and sponsors. To that end, when asked about changes in the office since beginning at UCLA, Lillian cites that faculty have come to work with ISR in helping the negotiation process by showing potential industry sponsors that they "need to treat the university as a university and not as another for-profit company." Though a typical day in the office includes a slew of diverse responsibilities including acting as a department liaison, providing advice on policy, advising faculty and dealing with conflict of interest matters, Lillian still looks forward to "learning about new innovative research being conducted, and contributing to all the good work being performed at UCLA."

With Lillian Smith at the helm, the ISR team is poised to continue the upward trend of making improvements between departments and faculty and ISR. Lillian invites faculty to "feel free to contact us about any questions they may have."

Newly Issued UCLA Patents for 2nd Quarter, FY2009

Case No.	Invention Title	Inventors	School	Department	Patent No
1997-575	PROSTATE STEM, CELL-ANTIGEN-1, PSC-, A PROSTATE CANCER MARKER AND TARGET FOR ANTI-CANCER AGENTS	Robert Reiter, Owen Witte	SOM	URO, Howard Hughes Med. Inst.	7,485,296
1999-532	THERMO-REVERSIBLE GELATION POLYMER FOR INTRALUMENAL IMPLANT	Yuichi Murayama, Fernando Vinuela	SOM	RAD	7,485,317
2003-126	GLASS-MODIFIED STRESS WAVES FOR ADHESION MEASUREMENT OF ULTRA THIN FILMS AND NANOELECTRONICS DEVICE FABRICATION	Vijay Gupta, Vassili Kireev	SEAS	MAE	7,487,684
2005-344	AAI ABSTRACT ON GE2 PROTEINS	Andrew Saxon, Ke Zhang, Daocheng Zhu	SOM	MED-CIA	7,488,804
2009-131	ACCUMULATE-REPEAT-ACCUMULATE LDPC CODES	Aliazam Abbasfar, Kung Yao	SEAS	ELEC ENGR	7,499,490
2003-252	COMPOSITE RIGHT/LEFT-HANDED COUPLERS	Tatsuo Itoh, Christophe Caloz, I-Hsiang Lin	SEAS	ELEC ENGR	7,508,283
2005-238	DISLOCATION ENGINEERING IN SILICON-GERMANIUM (SiGe) LAYER GROWN ON Si SUBSTRATE AS A VIRTUAL SUBSTRATE	Ya Hong Xie, Tae Sik Yoon	SEAS	MATRL SCI & ENGR	7,517,776
2001-400	MUTATION IN THE BCR-ABL TYROSINE KINASE THAT CONFERS RESISTANCE TO STI571	Charles Sawyers, Mercedes Gorre, John Nicoll, Neil Shah	SOM	MED-HEMAT & ONC	7,521,175
2003-003	SURFACE NANOPATTERNING	Harold Monbouquette, Miguel Garcia Garibay	SEAS L&S	CHEM ENGR CHEM.BIOCHEM,	7,524,408

Tip of the Quarter: Using the iBridge Network to find Research Material

Recent social networking and e-commerce services offer novel ways to find potential research collaborations, research materials and tools. One service that OIP-ISR utilizes for faculty intellectual property for which we wish to find a licensee or strategic partnership is the Kaufman Institute's iBridge Network (<http://ibridgenetwork.org>).

Launched in 2007, the iBridge Network was conceived by the Kaufman Institute to help improve IP networking between universities and industry. The Network now has a membership base of over 2,700 academic researchers, entrepreneurs, and industry representatives and includes over 6,500 discoveries from 76 research organizations.

For faculty, a search for MTAs and research materials can help locate potential research collaborators. Centers and institutes on campus are also encouraged to work with OIP-ISR to list their software, research materials, teaching materials, and other UCLA intellectual property on iBridge to identify collaborators with other university and industry partners. Non-confidential descriptions are posted to iBridge.

In addition to its online database of university inventions, iBridge provides e-commerce services for universities to distribute and license other types of intellectual property including software, research tools, databases, and teaching materials.

The iBridge is a unique and growing service network for researchers. It's worth exploring if you or your students need to find research collaborators with similar expertise. For additional information or a guide on how to use it, please contact: Bob Nidever, OIP-ISR at bnidever@research.ucla.edu.

Entrepreneurship, Continued

OIP-ISR has teamed with CNSI to provide seminars on topics ranging from intellectual property to start-up ventures (See "Now Available: IP Seminar Series at CNSI" to the right) that can help prepare a student to understand the details and technicalities of starting a company.

Resources such as the Tech Coast Angel (TCA) Mentorship program (www.techcoastangels.com) provide hands-on coaching in thinking through the types of products that a company can be formed around. TCA is the largest angel investor network in the U.S. and provides a mentorship-only program to select start-ups from students or faculty with at least one student on their team.

NEW OPPORTUNITY: the School of Theatre, Film and Television, along with OIP, is launching a new student competition called The Mail Room Fund (www.mailroomfund.com) sponsored by the William Morris Agency, Accel Partners, Venrock, and AT&T.

This competition is open to all UCLA students interested in developing a working product for the internet consumer market. Visit their website for competition rules and deadlines.

To encourage entrepreneurship, UCLA provides a variety of support for its students

OIP-ISR's CNSI Office Hours Update

For making appointments at OIP-ISR's new office hours in the CNSI that occur every other Friday, there is now a dedicated phone number and email address. Please contact 310-794-7694 or email incubator@cnsi.ucla.edu to make appointments. As a reminder, walk-ins are also welcome.

Now Available: IP Seminar Series at CNSI

OIP-ISR has begun offering a series of seminars at the CNSI building on various intellectual property topics taught by UCLA staff members. The first successful event covered the basics of technology transfer. Below is a list of upcoming events. All seminars begin at 4:00 p.m. and take place in the main CNSI Auditorium. Reservations are not required.

Thursday, May 28, 2009

Speakers: Emily Loughran & Ann Pollack

Title: Starting-up basics: Getting to Licensing, Royalties and Inventor strategies; Conflict of Interests

Thursday, June 25, 2009

Speaker: Earl Weinstein

Title: Startup resources at UCLA and locally

Thursday, July, 30, 2009

Speaker: Margaret Chock

Title: Information Technology for Start-ups

Please contact OIP-ISR's CNSI office at 310-794-7694 or email incubator@cnsi.ucla.edu for more information.

Subscribe / Contact Us

11000 Kinross Blvd., Suite 200
Los Angeles, CA 90095
www.research.ucla.edu/oip

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Publisher: Kathryn A. Atchison

Executive Editor: Robin Faria

Contributing Editors: Sandy Auyoung and Bob Nidever

Graphic Design: Ann Hu