

FY 2010-2011 CU Technology Transfer Performance Metrics



University of Colorado
TECHNOLOGY TRANSFER OFFICE

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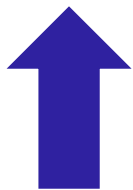
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Dashboard Look at FY 2010-2011

- ↑ Invention disclosures [maintained high level and continued strong relationships with faculty inventors]
- ↑ US patent applications [solid year for both the TTO speculative patent filings and patent filings supported by licensee companies]
- Exclusive licensing transactions [respectable year overall with pick-up during second half of year]
- ↓ Nonexclusive licensing transactions [securing technologies that produce multiple non-licenses still eluding us]
- ↑ Start-ups [slightly up; higher count than any preceding year]
- ↑ POC program [State BDEG program fully subscribed with high quality projects]
- Overall revenue [significantly improved from previous year]
- ↓ Equity liquidations [one significant acquisition, considerable pent-up demand]
- ↑ Speculative patent expenses [a minimally increased budget was well managed and we received reasonable rates from IP law firms for quality work]

Dashboard Look at FY 2010-2011

- ↑ Patent reimbursements [a significant improvement over the previous year; approaching historical reimbursement percentages]
- ↓ Start-up and early-stage licensee financings [better than previous year; difficult early-stage market conditions continue]
- ↑ Steady maturation of the licensing portfolio [products based on CU IP are maturing and a few significant revenue opportunities should be entering the market during the FY 2011-2012]
- ↑ Support from the business community [Colorado's technology centric entrepreneurial ecosystem is fantastic]
- ↑ Support from the CU Administration [continually integrating technology transfer into the research enterprise]
- ↑ TTO staff [excellent recent addition, strong team with high morale]



Net, TTO had a good year

CU Technology Transfer Over the Past Seven Years

| Fiscal Year | 04-5 | 05-6 | 06-7 | 07-8 | 08-9 | 09-10 | 10-11 |
|----------------------------|------|------|------|------|------|-------|------------|
| Invention disclosures | 177 | 198 | 254 | 235 | 258 | 232 | 250 |
| U.S. patent apps filed | 139 | 125 | 156 | 193 | 206 | 254 | 253 |
| Total options/licenses | 59 | 57 | 75 | 58 | 59 | 57 | 46 |
| Exclusive options/licenses | 22 | 36 | 38 | 44 | 48 | 40 | 37 |
| License revenue in \$MM* | 21.7 | 20.6 | 22.7 | 6.1 | 4.4 | 2.4 | 3.9 |
| Start-up companies | 9 | 10 | 10 | 11 | 11 | 9 | 11 |

*Does not include revenue derived from legal settlements which in FY03-4 amounted to \$28.1M, in FY04-5 \$6.7M, in FY05-6 \$.7M, and in FY06-07 \$1.3M.

Companies Created in FY 2010-2011

Based on CU Intellectual Property

| Company | Campus | Technology |
|-------------------------------------|---------------------|--|
| BioSIPs | UCB/ UCD | Environmentally-friendly structural insulated panels for building construction |
| Clarimedix | UCB | Non-invasive optical device for treating Alzheimer's disease and other conditions |
| Claro Scientific | AMC | Tox screen for detecting illegal drugs in urine |
| Clean Urban Energy | UCB | Software for efficient energy management in large buildings |
| Colorado Cancer Therapeutics | AMC | Novel anti-cancer compounds |
| Mosaic Biosciences | UCB | Degradable hydrogel for wound care and tissue repair |
| OnKure | UCB | Novel HDAC inhibitor for treating cancer |
| ProtechSure | AMC | Sunscreen with anti-cancer properties |
| Red Wave Energy | UCB | Electron tunneling devices for solar energy conversion and other applications |
| Shape Tech | AMC/ UCB | Shape memory polymer devices for treating ophthalmic conditions |
| Suvica | UCB | Screen for novel cancer drug candidates |

Start-up Company Sustainability and Capital Raised

- In the last eight years, 80 companies have been formed based on CU intellectual property.
- Of these 80 companies, 65 are operational as either stand alone or subsidiary/merged companies.
- CU IP has been relicensed from 9 of 15 discontinued companies.
- 58 of the 65 continuing companies have operations in Colorado.
- 19 of the of the 65 have received seed investment from TTO's convertible debt program.
- In the past eight years, companies started from CU IP (including pre-2003) have raised ~\$4.5B in capital from federal and state grants, TTO, angel, venture capital, acquisition and IPO sources.

CU IP and Licensing Portfolio at a Glance (as of 07/01/2011)

- Total U.S. Patents in force : 331
- Total U.S. Patents in prosecution: 342
- Exclusive Licenses in good standing: 165
- Non-Exclusive Licenses in good standing: 204
- Bio Licenses in good standing: 165
- Non-Bio Licenses in good standing: 204