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The last year has been a tremendous one for the prospects of UK research with commercialization potential. First, we signaled an expanded focus of our office by changing its name to the Office of Technology Commercialization. Next, we adopted a new mission statement that emphasizes commercializing our discoveries for the good of the University, the Commonwealth, and global society. We launched new programs and initiatives intended to increase researcher engagement and recognition, such as UKAccel, UKPitch and Patent Palooza. We developed an experiential learning program that hires graduate students—OTC Fellows—to become an integral part of our technology assessment and licensing processes. We partnered with other campus and community stakeholders, such as the Von Allmen Center for Entrepreneurship and Awesome Inc, to bring together some of the many great resources available to support the translation of UK research. To optimize our ability to originate deals, we hired new staff and formed a new Commercialization & Licensing Team with significant scientific research, market intelligence and license negotiation experience. Moreover, we created a new externally searchable database for UK’s licensable technologies, and we adopted a number of new tools to improve our ability to assess commercial viability and identify partners.

The UK research community and ecosystem around us heeded the ante for advancement, as evidenced by the phenomenal support we received from researchers and the Lexington community. Thanks to the foresight and leadership of, among others, President Eli Capilouto, Vice President for Research Dr. Lisa Cassis, and Associate Vice President for Research Rodney Andrews, and thanks to the hard work of a great OTC team, we were able to realize year-on-year increases in licenses & options executed (up 90%), start-up ventures launched (up 33%), patent applications (up 11%) and invention disclosures. Further, UK placed in the top 100 worldwide universities for patent grants in 2016, and we followed that up by receiving more issued patents in FY17 (40) than in any year before (30 in FY16).

Looking ahead, we will continue to innovate ourselves, pushing forward with these and other initiatives to support the great research at the University of Kentucky and help realize the market prospects that exist. Emphases will include, among others, (1) bridging the development gap for UK discoveries between invention and being commercialization-ready, (2) expanding UKAccel to offer a more robust education and services program for start-up ventures spinning out with UK technology, (3) developing new and non-obvious networks for commercialization through partnerships with government, industry associations, state and regional universities, and venture investment channels, and (4) initiating socially responsible innovation programs. Subscribe to our Commercialization Connect newsletter through our website and jump on the OTC train as we embark on another great year of research commercialization at UK.

Sincerely,

Ian D. McClure
Director, OTC
IAN MCCLURE  Director
Ian oversees the office, including intellectual property development, licensing, technology commercialization, start-up ventures, business development and student experiential initiatives related to University discoveries.

ALI BOCOOK  Contracts Coordinator
Ali is responsible for processing and managing Material Transfer Agreements, Data Use Agreements and Confidential Disclosure Agreements.

GINA TUSSEY  License Analyst
Gina provides support for the OTC budget, as well as license agreement revenues and compliance.

TECHNOLOGY COMMERCIALIZATION & LICENSING TEAM

ERIC CASTLEN  Associate Director, Commercialization & Licensing
Eric leads the Commercialization & Licensing Team. He is responsible for managing the activities associated marketing and licensing UK intellectual property.

ALEX PORTER  Commercialization Manager
Alex is responsible for marketing and licensing UK intellectual property in the life sciences.

NATASHA JONES  Commercialization Manager
Natasha is responsible for marketing and licensing UK intellectual property in the physical sciences.

STRATEGIC ALLIANCES TEAM

TAUNYA PHILLIPS  Associate Director, Strategic Alliances
Taunya leads the Strategic Alliances team. She is responsible for cultivating and maintaining campus and industry relationships that support the technology commercialization and entrepreneurial endeavors of the faculty, staff and students, and marketing the OTC.

TANNER ANDERSON  Marketing Intern
Tanner assists with OTC marketing activities.

INTELLECTUAL PROPERTY DEVELOPMENT TEAM

DON KEACH  Associate Director, Intellectual Property Development
Don leads the Intellectual Property Development Team. He is responsible for managing the commercialization process from invention record submission through patent prosecution.

SABRINA DARNELL  Intellectual Property Coordinator
Sabrina is responsible for managing the intellectual property database, and intellectual property compliance.

KATIE OLSON  Intellectual Property Intern
College of Law student
BA in Psychology and Music, University of San Diego

OTC FELLows

ISABEL DERERA  OTC Fellow
PhD Candidate in Physiology
BS in Behavioral Neuroscience, Washington College

KAIA HAMPTON  OTC Fellow
PhD Candidate in Pharmacology & Nutritional Sciences
BS in Biochemistry, University of Tampa

MITCH LYON  OTC Fellow
College of Law Student
BS in Mechanical Engineering, Purdue University

KENDRA STAGGS  OTC Fellow
Post-doctoral scholar in the lab of Eric Blalock in the Department of Pharmacology & Nutritional Sciences
### 2017 YEAR IN REVIEW

<table>
<thead>
<tr>
<th>Category</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invention Disclosures</td>
<td>54</td>
</tr>
<tr>
<td>Full Patent Applications</td>
<td>19</td>
</tr>
<tr>
<td>Patents Issued</td>
<td>40</td>
</tr>
<tr>
<td>New Licenses &amp; Options Executed</td>
<td>13</td>
</tr>
<tr>
<td>Gross Royalty Income in FY17</td>
<td>$2,393,069</td>
</tr>
<tr>
<td>Distributed to Inventors Since 2010</td>
<td>$3.75 million</td>
</tr>
<tr>
<td>Distributed to Colleges and Departments Since 2010</td>
<td>$13.37 million</td>
</tr>
</tbody>
</table>

Gross Royalty Income in FY17: $2,393,069
Dr. Susan Odom has designed and synthesized materials that mitigate overcharging when used in lithium-ion batteries, without the protection circuitry that is currently being used commercially to prevent overcharging. This innovation has the potential to increase the battery’s ability to store energy, while also making it safer to use. The need to develop this technology into a commercially viable solution for overcharging is very important, as the demand for lithium-ion batteries in consumer and industrial applications (smartphones, computer tablets, automotive devices) is growing.

**ANTIFUNGAL COMPOUNDS**

Dr. Sylvie Garneau-Tsodikova has discovered a library of anti-fungal drug compounds that have the potential to be effective therapeutic treatments for humans and various fungi infected crops and livestock. In humans, these compounds could alleviate the toxicity to organ systems and the drug resistance issues associated with existing commercially available treatments.

**STENT GRAFT**

Dr. David Minion has designed an endoluminal graft (endograft) with scalloped configurations in the sealing portion of the endograft. This is a strategy for preserving flow in branch vessels that would otherwise need to be sacrificed in order to adequately treat aneurysms or dissections in those vessels. The design of this device solves the challenges of scallops, that they must be aligned to the branch vessel during deployment of the endograft to avoid obstructing blood flow to the branch vessel. This device also eliminates the need to custom manufacture an endograft based on the patient’s anatomy.
NEW PROGRAMS FOR INNOVATION

The OTC spent considerable time in FY17 refining and developing new processes to make the invention disclosure and intellectual property development process more efficient, useful, and transparent, including:

- developing a new Invention Report form;
- implementing new personal response and feedback points through the market assessment process;
- hiring new personnel to communicate and work closely with inventors;
- offering faculty programs focused on the impact of patent research;
- doubling the size of the Intellectual Property Committee to provide more robust and diverse feedback; and
- launching a new invention management system with an inventor’s portal providing additional transparency in the patent prosecution and technology marketing process.

NEW RESOURCES FOR MARKET & PATENT RESEARCH

The OTC acquired new research tools to develop market and patent research capabilities. OTC Fellows and employees are trained to use these professional research databases and analytics tools to uncover data points that will assist in patent filing, developing commercialization strategies, and identifying potential partners.

INTRODUCTION TO THE INTELLECTUAL PROPERTY COMMITTEE

Through periodic meetings to review qualified invention disclosures in coordination with the Office of Technology Commercialization and, where appropriate, UK inventors, the IPC works to facilitate the appropriate, timely and equitable application of the University’s Intellectual Properties Policy and Procedures (A.R. 7.6). The work of this Committee is of ever-increasing importance to the University community as the impact of intellectual property on research, and vice versa, grows and the complexity of issues relating to intellectual property and university research increases. This Committee provides an important service to UK and the Commonwealth.

Dr. Czar Crofcheck - IPC Chair

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DEVELOPMENT OF COMMERCIALIZATION TEAM
The OTC restructured its organization in FY17, developing three active teams to provide specialized support to UK research: the Intellectual Property Development Team, the Strategic Alliances Team, and the Commercialization & Licensing Team.

In Q4 of FY17, the OTC hired and launched the three-person Commercialization & Licensing Team. This team will be solely focused on marketing UK technologies and originating and executing licensing deals. They will also offer commercialization support services to researchers, existing licensees and UK-affiliated start-up companies having market research and other advisory needs.

EXTERNALLY SEARCHABLE TECHNOLOGY DATABASE
The OTC developed and has begun populating an externally searchable database of UK technologies available for license. This database—now accessible on our website—includes technology summaries and related information and will be a critical interface with industry looking for specific solutions and technologies for adoption.

LICENSES & OPTIONS FOR FISCAL YEAR 2017

- Palleon Pharma Inc.  
  Steve Estus (Physiology)
- Effective Therapeutics Inc.  
  Jayakrishna Ambati (Ophthalmology & Visual Sciences)
- Pioneer Medicine  
  Chang-Guo Zhan (Pharmaceutical Sciences)
- Epiionc, Inc. (2)  
  David Watt (Molecular & Cellular Biochemistry)
- Flow Max, LLC  
  Todor Petrov (Mechanical Engineering) and Andrzej Wala (Mining Engineering)
- Equine Diagnostic Solutions  
  John Timoney (Equine Programs) and Sergey Artiushin (Equine Programs)
- Avast Therapeutics (2)  
  Luke Bradley (Anatomy & Neurobiology), Don Gash (Anatomy & Neurobiology) and Greg Gerhardt (Anatomy & Neurobiology)
- Tokyo Chemical Industry Co. Ltd.  
  John Anthony (Chemistry) and Susan Odom (Chemistry)
- MEL Chemicals  
  Mark Crocker (Center for Applied Energy Research)
- Caprico Biotechnologies, Inc.  
  John Thompson (Internal Medicine) and Steven Brown (Internal Medicine)
- HIPRA  
  Thomas Chambers (Veterinary Science)
THERAPEUTICS
9,453,226 Protection of cells from Alu-RNA-induced degeneration and inhibitors for protecting cells
Jayakrishna Ambati, Valeria Tarallo
9,464,289 Methods of inhibiting Alu RNA and therapeutic uses thereof
Jayakrishna Ambati
9,447,135 Semi-synthetic mithramycin derivatives with anti-cancer activity
Jugen Rohr, Daniel Scott, Markos Leggas, Jhong-Min Chen, Oleg Tsodikov
9,447,112 Use of parthenolide derivatives as antileukemic and cytotoxic agents
Peter Crooks, Craig Jordan, Xiaochen Wei
9,550,753 Mono quaternary ammonium salts and methods for modulating neuronal nicotinic acetylcholine receptors
Peter Crooks, Linda Dwoskin, Guangrong Zheng, Sangeetha Sumithran, Zhenfa Zhang
9,540,327 Bis-quaternary ammonium salts as pain modulating agents
Joseph Holtman, Peter Crooks, Linda Dwoskin
9,493,439 Proteasome inhibitors
Kyung-Bo Kim, Chang-Guo Zhan (Pharmaceutical Sciences)
9,464,322 Methods for diagnosing and treating alzheimer’s disease (AD) using the molecules that stabilize intracellular calcium (Ca2+) release
Philip Landfield, Eric Blalock, Kuey-Chu Chen, Olivier Thibault, Nada Porter
9,567,585 Antisense oligonucleotide modulators of serotonin receptor 2C and uses thereof
Stefan Stamm, Manli Shen, Serene Josiah
9,642,845 Method for alleviating side effects of retinoic acid therapy and/or improving efficacy without interfering with efficacy
Elaine Jacobson, Myron Jacobson, Russell Coyle, Hyuntae Kim, Donna Coyle

DRUG DELIVERY
9,566,341 Compounds including Cox inhibitor moiety and enhanced delivery of active drugs using same
Audra Stinchcomb, Kyung Bo Kim, Ragotham Reddy Pinninti, Priyanka Ghosh, Kalpana Paudel

MEDICAL DEVICES
9,468,557 Compact heat exchanger for veno-venous perfusion-induced systemic hyperthermia systems
Dongfang Wang, Joseph Zwischenberger
9,482,675 Methods and systems for prognosis and diagnosis of brain damage
Mark Lovell, Bert Lynn (Chemistry)

FOOD SCIENCE
9,410,133 Glucan phosphatase
Glucan phosphatase
9,413,025 Hybrid flow battery
Hybrid flow battery
9,428,705 Enhancement of binding characteristics for production of an agglomerated product
Darrell Taulbee, Robert Hodgen

ENVIRONMENTAL
9,409,125 Method of increasing mass transfer rate of acid gas scrubbing solvents
Joseph Remias, Cameron Lippert, Kunlei Liu
6,675,928 Method of inhibiting nitrosation of an aqueous amine solution used in a process of removing carbon dioxide from a flue gas
Joseph Remias, Payal Chandan, Kunlei Liu
9,468,883 Solvent and method for removal of an acid gas from a fluid stream
Joseph Remias, Cameron Lippert, Kunlei Liu
9,504,957 Fluor gas desulfurization apparatus
Kunlei Liu, Joseph Remias
9,409,120 Hybrid process using a membrane to enrich flue gas CO2 with a solvent-based post-combustion CO2 capture system
Kunlei Liu, Reynolds Frimpong, Kunlei Liu

AGRICULTURE
9,440,858 Carbon particles
Stephanus Eigenbrodt, Christopher Swartz
9,470,066 Carbon particles
Stephanus Eigenbrodt, Christopher Swartz
9,413,025 Hybrid flow battery and Mn/Mn electrolyte system
Stephanus Eigenbrodt, Christopher Swartz
9,390,828 Crystallographically-oriented carbon nanotubes grown on few-layer graphene films
Douglas Strachan, David Hunley
9,388,513 Crystallographically-oriented carbon nanotubes grown on few-layer graphene films
Douglas Strachan, David Hunley

ENERGY
9,428,705 Enhancement of binding characteristics for production of an agglomerated product
Darrell Taulbee, Robert Hodgen

SEMICONDUCTORS & ELECTRONIC DEVICES
9,647,094 Method of manufacturing a semiconductor heteroepitaxy structure
Zhi David Chen
9,678,583 2D and 3D pointing device based on a passive lights detection operation method using one camera
Fuhua Cheng
9,533,883 Apparatus and method for harvesting carbon nanotube arrays
Matthew Wisenberger, John Craddock

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MOSQUITOMATE
MosquitoMate produces sterile male Asian Tiger mosquitoes by infecting them with the Wolbachia bacterium. When these mosquitoes mate with female mosquitoes, the resulting eggs are unable to hatch, thus eliminating the next generation of mosquitoes. MosquitoMate provides a non-chemical, non-GMO pest control solution that does not harm other species, such as butterflies and bees. It has implications for controlling intractable diseases such as Zika and Dengue. The technology is based on the research of Stephen Dobson, professor of Entomology, in the College of Agriculture, Food and Environment, licensed from UK. MosquitoMate recently expanded its mosquito production operations to a 6000 s.f. facility in Lexington, and has grown to 12 employees. Since partnering with Verily, an Alphabet company (formerly known as Google Life Sciences), the MosquitoMate technology has received quite a bit of media attention, including FastCompany, Wired Magazine, Fortune and CNBC.

POWERTECH WATER
PowerTech Water (PTW) has developed a revolutionary patent-pending INCION™ electro-desalination water treatment system that reduces water purification costs and associated waste by up to 60% and 80% respectively for water intensive industries, such as the food & beverage sector. Unlike traditional water treatment methods, they do not use high pressure pumps, membranes, chemicals, or have any consumables. PowerTech Water’s mission is to dismantle the throw away culture of modern water treatment and provide a sustainable solution. The technology was invented by James Landon and his R&D team at the University of Kentucky Center for Applied Energy Research. He founded PTW with his office mate, Cameron Lippert. PowerTech Water has transformed their technology into a viable product through SBIR grants, angel funding and state support.

REDLEAF BIOLOGICS
RedLeaf has developed non-GMO plant-based natural alternatives to potentially harmful synthetic pigments and antioxidants for food applications, in humans and livestock. These products come from a rare variant of the sweet sorghum (Red Leaf) plant, that is grown in Kentucky. RedLeaf’s lead product is RedN pigment, which provides a broader stability to pH than other types of natural colorants. The technology is based on the research of Seth DeBolt, professor of Horticulture in the College of Agriculture, Food and Environment. RedLeaf has grown through a variety of funding mechanisms, such as SBIR grants, Kentucky’s SBIR grant matching program, NSF i-Corps, and private support.
UK STARTUP COMPANIES IN FISCAL YEAR 2017
- Flow Max – Todor Petrov (formerly Mechanical Engineering) Andrzej Wala (Mining Engineering)
- Effective Therapeutics – Jayakrishna Ambati (formerly Ophthalmology and Visual Science)
- Epionc – David Watt (Molecular & Cellular Biochemistry)
- Pioneer Medicine – Chang Guo Zhan (Pharmaceutical Sciences)

UK STARTUP COMPANIES THAT PARTICIPATED IN OTC ENTREPRENEURSHIP PROGRAMS
- Enepret – Joseph Chappell, Chase Kempenski
- Nocrobix – Sylvie Garneau-Tsodikova, Oleg Tsodikova
- OpenEddi – Kate Eddens
- Largus Neurosystems – Michael Wesley, Josh Lile, Dillon Huffman, Arit Harvanko
- Stillage Solutions – Steve Lipka
- RedLeaf Biologics – Seth DeBolt

UK STARTUP COMPANIES THAT RECEIVED SBIR/STTR FUNDING IN FY2017
- CoPlex Therapeutics – Bert Lynn and Mark Lovell, Chemistry
- Cytoinformatics, Inc – Karyn Esser (formerly) Physiology
- Naprogenix – John Littleton, Kentucky Tobacco Research Development Center
- Bluegrass Advanced Material – Tom Dziubla and Zach Hilt, Chemical Engineering
- Brockman-Hastings, LLC – Todd Hastings, Electrical Engineering
- PowerTech Water – Xin Gao (Center for Applied Energy Research)
- MosquitoMate – Stephen Dobson (College of Agriculture, Food and Environment)
- Naprogenix, LLC – John Littleton (Kentucky Tobacco Research and Development Center)
UKACCEL ASSISTS BUDDING ENTREPRENEURS

On April 13, 2017, the OTC and the Von Allmen Center for Entrepreneurship (VACE) began a new program for UK entrepreneurs, called UKAccel. The program offers a professional development and experiential learning opportunity to UK researchers who have some interest in turning their intellectual property into a startup company. The OTC and VACE provide guidance and a customized work plan for each of the participating teams. Key to this experience is the participants’ access to Awesome Inc, a Lexington-based start-up accelerator, that enables participants to take part in an immersive experience in entrepreneurship culture. The goal is for the UK researchers to discover if launching a startup company is the best way for them personally to commercialization their technology.

UKPITCH HELPS FACULTY INVENTORS

The OTC started a new program in December called UKPitch, for UK faculty inventors who have an interest in “pitching” their research, intellectual property, or startup company in a competition or at a conference demo day. For qualified and selected applicants, the OTC provides support for some of the registration and travel related costs. The OTC works with program participants to hone their pitch, and choose the appropriate venue for it.

TOTAL ACTIVE STARTUPS RELATED TO UK TECHNOLOGY

63
FACULTY EDUCATION PROGRAM

The Office of Technology Commercialization began a faculty education program, taught by the OTC, covering the critical areas of patent research (researching patent literature), invention disclosure, patent prosecution, intellectual property (IP)-driven corporate partnering and new venture creation in a variety of business settings in the global economy—all from the perspective of the researcher/inventor. Subtopics include:

- Grant funding and IP
- IP as a product suite of partnership tools
- Methodologies to research, evaluate, value and create value from IP
- Building an IP portfolio
- Commercialization Strategies
- Collaborative IP development
- Collaborative IP management

Participants in the program are engaged via academic theories, scenarios and case studies. The course is taught in four one-hour sessions:

- Patent Literature and Your Research;
- Building a Patent Suite to Build Your Brand;
- Research Commercialization Strategies; and
- IP Policy and Innovation

OTC FELLOWS PROGRAM

In January 2017, the OTC began the Fellows program and hired three positions. Two additional positions were then hired in July 2017. The Fellows Program is open to full-time current undergraduate (90+ hours) and graduate students, and post-doctoral scholars.

The OTC Fellows Programs offers a unique educational experience that gives UK students and post-docs the opportunity to contribute to the commercialization of University of Kentucky technologies. Fellows work closely with the OTC on a part-time basis to enhance the OTC’s understanding of the commercial potential of UK technologies, and to assist with the commercialization process. In turn, Fellows gain in-depth experience working on early stage technology assessments, writing technology summaries and preparing marketing campaigns, among other duties.

MONTHLY EMAIL NEWSLETTER

Commercialization Connect is the monthly newsletter of the University of Kentucky Office of Technology Commercialization. This newsletter is a way for the OTC to share pertinent technology commercialization information with stakeholders—UK faculty, staff, students, the local entrepreneurial community, state government, corporations and other interests nationwide.

Commercialization Connect offers, to our 600+ readers, transparency related to the process for commercializing exciting discoveries at the University of Kentucky, including the operations of the OTC and the ways in which we serve our stakeholders. Importantly, the newsletter highlights the great work of our researchers and the entrepreneurial community, and provides information on activities and events of interest to the community.
The OTC hosted its first annual Patent Palooza on March 28, 2017. Patent Palooza was a festive event that recognized the accomplishments of inventors and entrepreneurs in FY2016. This includes inventors named on a patent that issued, inventors whose technology was licensed, and/or inventors whose technology was the subject of an SBIR/STTR award.

Each inventor named on an issued patent in FY16 was given a coffee mug with the front cover of their patent proudly printed on it. Forty-three inventors were recognized for the 30 patents that issued in fiscal year 2016.

Special recognition—an engraved and framed plaque with replica patent—was given to Dr. Chang-Guo Zhan, who reached a milestone of receiving his 20th patent issued in 2016. He had five patents issued last year alone! Recipients of SBIR-STTR grants in FY16 were recognized, as well as inventors on patents for which a license agreement was executed.

Approximately 100 people attended Patent Palooza, including President Eli Capilouto and the Vice President for Research, Dr. Lisa Cassis. The room was buzzing with energy, as many attendees expressed that it is wonderful to celebrate UK faculty inventors and entrepreneurs. Many enjoyed connecting with others in the UK research community.