

SUBMISSION FORM

University System/Employee Intellectual Property Joint Participation
MUSP 407

This form is to be submitted with any Board of Regents item whereby a campus seeks the approval of an agreement with or arrangement regarding an employee pursuant to 20-25-109 MCA and Regents Policy 407.

When the submission concerns matters of trade secrets or confidential business information, or any other matter entitled to privacy under state or federal law (e.g., the federal statute known as Bayh/Dole) the submitting campus may request consideration of the submission, in whole or in part, in executive session.

The submitting campus should also provide the Commissioner a copy of the contract(s) that form the basis for the cooperative arrangement for which approval is sought. Submission of the contract does not indicate a conclusion that all or part of the contract is a public document and the question of whether it is in whole or in part protected from public disclosure will be evaluated on a case by case basis.

1. Summarize the nature of the intellectual property that was developed by the employee seeking approval. Indicate the sources of funding for the research that resulted in this invention.

A provisional patent application has been filed for a process that recombines fungal genomes and prohibits their segregation in the absence of selection. The net effect of this process is gain of novel metabolic functions required for industrial bioenergy production and synthesis of recalcitrant pharmaceuticals. This process was discovered in the course of related research funded by the National Institutes of Health (National Institute of Aging).

2. a. Name(s) of the university employee(s) involved.

Frank Rosenzweig

- b. Name(s) of business entity(ies) involved.

Dikaryon Biotechnology Limited, a Montana corporation

3. The university and employee(s) are seeking approval for (check as many as appropriate):

- a. The employee to be awarded equity interest in the business entity.
- b. The employee to serve as a member of the board of directors or other governing board of the business entity.
- c. The employee to accept employment from the business entity.

d. Other. Please explain.

4. 4. How will approval of this relationship contribute to the objectives of the university's technology transfer and intellectual property development programs?

By allowing this University-private sector relationship to be established, intellectual property developed by University faculty can be used to grow a Montana-based company, will set an example for other entrepreneurs from the University looking for opportunities for commercialization of their innovations and creations, and will generate goodwill for University employees and the private sector.

The benefits to U of M and the State of Montana arising from current and proposed research activities of Dikaryon Biotechnology are:

Dr. Rosenzweig has filed an invention disclosure with the University of Montana Technology Transfer Office from technology developed under grants from National Institutes of Health (NIA). Steps are currently being taken to protect this technology through patenting, and evaluating the invention disclosure for commercialization potential. Dikaryon Biotechnology has expressed interest in licensing the technology from UM.

Dikaryon Biotechnology will continue development of the technology and will be seeking SBIR funding. If funded, Dikaryon will subcontract with UM. From this relationship, Dikaryon Biotechnology potentially has the opportunity to patent and license a number of products and devices in the biotechnology field, especially in the bioenergy and pharmaceutical fields, which may be important regionally, nationally, and globally. Agreements on specific technologies between Dikaryon Biotechnology and UM are contemplated. There is a strong likelihood that inventions will emerge from the UM subcontract supported by the SBIR award.

At this time there are no revenue projections. The relationship with Dikaryon Biotechnology brings a new collaboration, the possibilities for inventions and patents, and support for 2 people and equipment to UM. This is also an opportunity to broaden the research landscape at UM and the region, while providing the potential for economic development.