UNIVERSITY R&D FUNDING

Institution: [University of Colorado]
Address:
City: Boulder State: CO Zip: 80309

FF: 74887.0 NON FF: 29689.0 TOTAL: 104576.0

(Funding in thousands of dollars)

LIFE SCIENCES -	FF:	37177.0	Non FF:	20109.0	Total:	57286.0
ENVIRON. SCIENCES -	FF:	14975.0	Non FF:	2000.0	Total:	16975.0
ENGINEERING -	FF:	3817.0	Non FF:	2177.0	Total:	5994.0
PHYSICAL SCIENCES -	FF:	13378.0	Non FF:	3305.0	Total:	16683.0
COMPUTER SCIENCE -	FF:	1251.0	Non FF:	168.0	Total:	1419.0
MATH -	FF:	305.0	Non FF:	44.0	Total:	349.0
PSYCHOLOGY -	FF:	2377.0	Non FF:	1331.0	Total:	3708.0
SOCIAL SCIENCES -	FF:	1607.0	Non FF:	555.0	Total:	2162.0
OTHER -	FF:	0.0	Non FF:	0.0	Total:	0.0

<ESC> - Exit <F8> - Graph <F10> - HELP! <ENTER> - Select

UNIVERSITY R&D FUNDING

Institution: [UNIVERSITY OF IOWA]
Address:
City: Iowa City **State:** IA **Zip:** 52242

FF: 52497.0 **NON FF:** 21099.0 **TOTAL:** 73328.0

(Funding in thousands of dollars)

LIFE SCIENCES -	FF:	39808.0	Non FF:	14242.0	Total:	54050.0
ENVIRON. SCIENCES -	FF:	173.0	Non FF:	95.0	Total:	268.0
ENGINEERING -	FF:	2773.0	Non FF:	2696.0	Total:	5469.0
PHYSICAL SCIENCES -	FF:	7941.0	Non FF:	1667.0	Total:	9608.0
COMPUTER SCIENCE -	FF:	60.0	Non FF:	1030.0	Total:	1090.0
MATH -	FF:	459.0	Non FF:	217.0	Total:	676.0
PSYCHOLOGY -	FF:	829.0	Non FF:	330.0	Total:	1159.0
SOCIAL SCIENCES -	FF:	454.0	Non FF:	822.0	Total:	1276.0
OTHER -	FF:	0.0	Non FF:	0.0	Total:	0.0

<ESC> - Exit <F8> - Graph <F10> - HELP! <ENTER> - Select

UNIVERSITY R&D FUNDING

Institution: [UNIVERSITY OF CONNECTICUT]
Address:
City: Storrs **State:** CN **Zip:** 06268

FF: 36142.0 **NON FF:** 36224.0 **TOTAL:** 72366.0

(Funding in thousands of dollars)

LIFE SCIENCES	**FF:**	28780.0	**Non FF:**	21729.0	**Total:**	50509.0
ENVIRON. SCIENCES	**FF:**	1608.0	**Non FF:**	1538.0	**Total:**	3146.0
ENGINEERING	**FF:**	1342.0	**Non FF:**	4670.0	**Total:**	6012.0
PHYSICAL SCIENCES	**FF:**	1743.0	**Non FF:**	3775.0	**Total:**	5518.0
COMPUTER SCIENCE	**FF:**	161.0	**Non FF:**	194.0	**Total:**	355.0
MATH	**FF:**	130.0	**Non FF:**	79.0	**Total:**	209.0
PSYCHOLOGY	**FF:**	782.0	**Non FF:**	572.0	**Total:**	1354.0
SOCIAL SCIENCES	**FF:**	166.0	**Non FF:**	1902.0	**Total:**	2068.0
OTHER	**FF:**	1430.0	**Non FF:**	1765.0	**Total:**	3195.0

<ESC> - Exit **<F8> - Graph** **<F10> - HELP!** **<ENTER> - Select**

UNIVERSITY R&D FUNDING

Institution: [NEW YORK UNIVERSITY]
Address:
City: New York **State:** NY **Zip:** 10003

FF: 69099.0 **NON FF:** 23688.0 **TOTAL:** 92787.0

(Funding in thousands of dollars)

LIFE SCIENCES -	FF:	50889.0	Non FF:	18311.0	Total:	69200.0
ENVIRON. SCIENCES -	FF:	233.0	Non FF:	33.0	Total:	266.0
ENGINEERING -	FF:	0.0	Non FF:	0.0	Total:	0.0
PHYSICAL SCIENCES -	FF:	3102.0	Non FF:	468.0	Total:	3570.0
COMPUTER SCIENCE -	FF:	5430.0	Non FF:	680.0	Total:	6110.0
MATH -	FF:	5125.0	Non FF:	347.0	Total:	5472.0
PSYCHOLOGY -	FF:	1817.0	Non FF:	500.0	Total:	2317.0
SOCIAL SCIENCES -	FF:	381.0	Non FF:	2349.0	Total:	2730.0
OTHER -	FF:	2122.0	Non FF:	1000.0	Total:	3122.0

<ESC> - Exit <F8> - Graph <F10> - HELP! <ENTER> - Select

UNIVERSITY R&D FUNDING

Institution: [PRINCETON UNIVERSITY]
Address:
City: Princeton **State:** NJ **Zip:** 08544

FF: 36199.0 **NON FF:** 15590.0 **TOTAL:** 51789.0

(Funding in thousands of dollars)

LIFE SCIENCES -	FF:	5774.0	Non FF:	2705.0	Total:	8479.0
ENVIRON. SCIENCES -	FF:	3105.0	Non FF:	2556.0	Total:	5661.0
ENGINEERING -	FF:	8310.0	Non FF:	3999.0	Total:	12309.0
PHYSICAL SCIENCES -	FF:	12578.0	Non FF:	2325.0	Total:	14903.0
COMPUTER SCIENCE -	FF:	1646.0	Non FF:	516.0	Total:	2162.0
MATH -	FF:	1441.0	Non FF:	421.0	Total:	1862.0
PSYCHOLOGY -	FF:	1356.0	Non FF:	328.0	Total:	1684.0
SOCIAL SCIENCES -	FF:	1989.0	Non FF:	2740.0	Total:	4729.0
OTHER -	FF:	0.0	Non FF:	0.0	Total:	0.0

<ESC> - Exit <F8> - Graph <F10> - HELP! <ENTER> - Select

UNIVERSITY R&D FUNDING

Institution: [KANSAS STATE UNIVERSITY AG. & APP. SCIENCE]
Address:
City: Manhattan **State:** KS **Zip:** 66056

FF: 12969.0 **NON FF:** 27739.0 **TOTAL:** 40708.0

(Funding in thousands of dollars)

LIFE SCIENCES	**FF:**	6590.0	**Non FF:**	21340.0	**Total:**	27930.0
ENVIRON. SCIENCES	**FF:**	186.0	**Non FF:**	.	**Total:**	297.0
ENGINEERING	**FF:**	1370.0	**Non FF:**	3205.0	**Total:**	4575.0
PHYSICAL SCIENCES	**FF:**	3805.0	**Non FF:**	567.0	**Total:**	4372.0
COMPUTER SCIENCE	**FF:**	0.0	**Non FF:**	0.0	**Total:**	0.0
MATH	**FF:**	108.0	**Non FF:**	298.0	**Total:**	406.0
PSYCHOLOGY	**FF:**	61.0	**Non FF:**	26.0	**Total:**	87.0
SOCIAL SCIENCES	**FF:**	393.0	**Non FF:**	983.0	**Total:**	1376.0
OTHER	**FF:**	456.0	**Non FF:**	1209.0	**Total:**	1665.0

<ESC> - Exit **<F8> - Graph** **<F10> - HELP!** **<ENTER> - Select**

UNIVERSITY R&D FUNDING

Institution: [NEW JERSEY INSTITUTE OF TECHNOLOGY]
Address:
City: Newark **State:** NJ **Zip:** 07102

FF: 940.0 **NON FF:** 7639.0 **TOTAL:** 8579.0

(Funding in thousands of dollars)

LIFE SCIENCES -	FF:	0.0	Non FF:	0.0	Total:	0.0
ENVIRON. SCIENCES -	FF:	0.0	Non FF:	0.0	Total:	0.0
ENGINEERING -	FF:	206.0	Non FF:	3270.0	Total:	3476.0
PHYSICAL SCIENCES -	FF:	0.0	Non FF:	737.0	Total:	737.0
COMPUTER SCIENCE -	FF:	7.0	Non FF:	1007.0	Total:	1014.0
MATH -	FF:	0.0	Non FF:	51.0	Total:	51.0
PSYCHOLOGY -	FF:	0.0	Non FF:	0.0	Total:	0.0
SOCIAL SCIENCES -	FF:	0.0	Non FF:	0.0	Total:	0.0
OTHER -	FF:	727.0	Non FF:	2579.0	Total:	3306.0

<ESC> - Exit <F8> - Graph <F10> - HELP! <ENTER> - Select

UNIVERSITY R&D FUNDING

Institution: [The Medical College of Pennsylvania]
Address: _____
City: _____ State: __ Zip: _____

FF: 4864.0 NON FF: 3956.0 TOTAL: 8820.0

(Funding in thousands of dollars)

LIFE SCIENCES -	FF:	4554.0	Non FF:	3859.0	Total:	8413.0
ENVIRON. SCIENCES -	FF:		Non FF:		Total:	
ENGINEERING -	FF:		Non FF:		Total:	
PHYSICAL SCIENCES -	FF:		Non FF:		Total:	
COMPUTER SCIENCE -	FF:		Non FF:		Total:	
MATH -	FF:		Non FF:		Total:	
PSYCHOLOGY -	FF:		Non FF:		Total:	
SOCIAL SCIENCES -	FF:		Non FF:		Total:	
OTHER -	FF:	310.0	Non FF:	97.0	Total:	407.0

<ESC> - Exit <F8> - Graph <F10> - HELP! <ENTER> - Select

LIFE SCIENCES

FF: 0.0 Non FF: 0.0 Total: 0.0

AGRICULTURAL -	FF:	0.0	Non FF:	0.0	Total:	0.0
BIOLOGICAL -	FF:	4554.0	Non FF:	3859.0	Total:	8413.0
MEDICAL -	FF:	0.0	Non FF:	0.0	Total:	0.0
OTHER -	FF:	0.0	Non FF:	0.0	Total:	0.0

<F8> - Graph Press any other key to return ...

Memo No.: 023

MEMORANDUM

DATE: August 17, 1988

TO: Addressees

FROM: Norm Latker

The attached August 17 New York Times article is of current interest to our need to convert hard copy into our electronic information system. Jim Liverman will be looking into this further.

cc: Bill Miles
Jim Liverman
Jay Liverman
Richard Carlin
Scott Panzer

Memo No.: 021

MEMORANDUM

DATE: August 17, 1988

TO: Bill Miles

FROM: [redacted]

Today I was surprised to receive a call from Dan Wylde, President of NERAC. He had heard of our database and technology management initiative from our announcement and he located us with Jim Terragno's help. He suggested a cooperative venture that he believes would be mutually beneficial.

First, he confirmed our understanding that NERAC searches databases for solutions to problems posed by clients. Their databases are not on-line and are used exclusively for problem solving. Part of their database is made up of technology from their clients (some of which are from Europe). He suggested that it would serve the interests of his clients to make their technology available to us for licensing since NERAC was not in the technology management business. He further suggested that he would encourage clients to use our technology management services. I believe he wants access to our database in exchange (terms were not discussed).

I suggested we meet in Westport. He suggested Washington. I left the decision to you. In the meantime, he is sending me the format on which he is collecting technology.

cc: Richard Carlin
Jim Liverman

Memo No.: 022

MEMORANDUM

DATE: August 17, 1988

TO: Bill Miles

FROM: Norm Latker

Today I was visited by Dr. William Partridge, President, Utah Bioresearch, Inc. I knew Bill when he was Vice-President of Research at the University of Utah. He was interested in discussing our management of at least the following three patented inventions:

a) Urinary Incontinence Device
b) Platelet Concentrator
c) Artificial Sphincter

The three inventions are described on the attached page from their annual report.

I asked Bill for the patent applications for the inventions and Bob Siegel suggested I find out who had been contacted as potential licensees. When I get this information, I will refer the package to Westport.

Bill advised that each of the above inventions was supported by SBIR funding. Bill's visit reinforces my belief in the value of the SBIR database and its potential in generating clients like Bill.

I recommended using this situation as a test case. If we could negotiate an arrangement with Bill it could serve as a prototype for other recipients of SBIR funding. Given we have the SBIR database and a prototype arrangement, we could selectively (or generally) contact such recipients to advertise our technology management services.

In the course of our conversation, it became clear that the filing of patent applications are an allowable cost under OMB Circular A-21. That is probably not known to most SBIR recipients and could be a point of interest in contacting potential clients.

cc: Richard Carlin, w/attachment
Jim Liverman, w/attachment
Bob Siegel, w/attachment



STATUS OF 1987 RESEARCH PROJECTS WITH UNUSUAL COMMERCIAL POTENTIAL

PORTABLE HEMATOCRIT MEASUREMENT CENTRIFUGE

A new centrifuge configuration has been developed at TRA which is the basis for a portable unit powered by two dry cell flashlight batteries with which an operator can determine hematocrit values of a patient in the field. A laboratory model has also been constructed. These units are much lighter and more efficient than any others on the market. A patent is being issued on the new configuration. Several groups are interested in licensing and manufacturing these devices.

PORTABLE ULTRASONIC RAPID HEMATOCRIT MEASUREMENT DEVICE

Under a contract from the Army, TRA has developed a portable ultrasonic device that will determine the hematocrit value of blood in 10 seconds and display it on a liquid crystal screen. The circuitry has been built and a bench prototype demonstrated which gave rapid, accurate readings. As soon as packaging of the final product is complete, manufacturing and marketing can be undertaken.

URINARY INCONTINENCE DEVICE

It is estimated that over 50 percent of all patients in rest homes have urinary continence problems. TRA has developed an effective, non-surgical device that in many cases, can solve this problem. TRA has been notified that a patent for the device will issue in the near future. The Phase I feasibility study funded by the National Institute for Aging showed that the device works well in animals and a Phase II grant has been recommended for funding for continued development. Clinical testing of the device should be initiated during the next six months.

PLATELET CONCENTRATOR

There is a great need for the separation of platelets in blood from the red and white blood cells so that they can be used for various types of medical treatment. At the present time such cells are separated by centrifuging blood at very high speeds which is harmful to the fragile structure of the platelets. Also, it is very difficult to prepare pure platelet samples containing no red or white cells using present methods. This is a serious problem since red and white cells are disease carriers.

TRA has used the ultrasonic technology to remove the contaminating red and white cells from platelets much more effectively than the methods presently used. This has generated a great deal of interest in the medical community and a prototype laboratory separator is now being designed.

COPPER-GRAPHITE COMPOSITE

Under a contract from the Department of Energy, investigators at TRA have developed a method for causing molten copper to adhere to the surface of graphite fibers. The resulting product would have wide application in the construction of nuclear reactors and has attracted the interest of individuals in that field.

MAGNETIC RESONANCE BLOOD FLOW IMAGING

Researchers at TRA have developed a computer program for enhancing Magnetic Resonance Imaging scanning data obtained from standard MRI equipment used in hospitals. Using this program, it is possible to measure the contour of the inner surface of blood vessels and the turbulence of blood flowing along the vessel much more accurately and rapidly than was previously possible.

ELECTRONICALLY STEERABLE AND AGILE ANTENNA

Under a contract from the Army tank command, TRA has developed a solid state microwave antenna which can be used to communicate over a tight beam from a transmitting station to a roving vehicle traversing over rough terrain. Feasibility studies have been successful and the construction of working models is beginning.

Because of the success of the feasibility study for the Army Tank Command, the National Aeronautics and Space Administration is awarding a contract to TRA to adapt the system for communication between astronauts during extra-vehicular activities in space.

BIOLEACHING OF GALLIUM ORE

Under a contract from the Air Force, TRA has developed a process using bacteria to leach gallium from very low concentration ore and convert it into water soluble compounds. During the preliminary tests, 95 percent of the gallium was made water-soluble. Private investors are designing a process development unit to test the process under semi-commercial conditions.

ARTIFICIAL SPHINCTER

Work on the artificial sphincter was discontinued during the year when the contract supporting its development was completed. Implantation of the device in animals for periods of up to 123 days showed that it was effective and did not harm the test animal. The first clinical prototype could be tested in human patients with very little additional development if funding were available.

OTHER 1987 PROJECTS

Ultrasonic Eye Clarifier
Frozen Blood Cell Washer
Biodegradation of Polyurethane Paint
ODS Titanium
Titanium-Nitride Nickel
Microanastomosis

8/88

DRAFT Letter
To Don Freuhling

Dear Don,

I need to know what duties Lowell Harmison has been assigned that involve USET. I understand that Harmison resigned all his duties in USET rather than accept the organizational assignment USET was given within the Maxwell Corporation. I, of course, assumed the USET responsibilities refused by Harmison. Notwithstanding, I now find that Harmison:

1) Has recommended to London that he head a new non-profit Technology and Science Center aimed at assisting USET clients and prospective clients in managing their technology.

2) Is alleging that the Center exists and is representing himself as functioning on USET's behalf in negotiating new technology management contracts with universities. These contracts are based on contract formats acquired from USET but modified for purposes of these negotiations in a manner not consistent with USET's intended operation.

3) Has recommended to London that they pursue a technology management arrangement with the Soviets that would replace the present Soviet technology management organization with a Maxwell organization. (I presume the unit would be USET, but the strategy proposed to the Soviets is not realistically attainable).

These actions are disturbing since Harmison or London has made no effort to consult with me on the prospect of their successful implementation within current USET resources, and the requirement to deal through some undefined Harmison organization. Since USET is moving to meet world technology management needs within its own planned approach and resources, I have serious reservations with this uncoordinated approach especially in light of Harmison's continued refusal to be accountable to USET management.

I think it is important that I meet with Robert Maxwell before damage is done to our prospects to succeed.

Bill Miles

Memo No.: 019

MEMORANDUM

DATE: August 16, 1988

TO: Bill Miles

FROM: Norm Latker

David Pifer from the office of the Vice President for Research at Auburn University called today. He was following through on our prior discussions at the SUPA meeting in Chicago.

Auburn is in the process of reexamining their technology management program and is exploring new approaches. They have already broken technology management out from under the contracts and grants unit to give it greater visibility. He asked for brochure material giving details on who we are and our policies which I indicated were not available since we are still in the process of consolidation.

David was interested in knowing the degree of exclusivity necessary to deal with USET. I told him that would be determined in negotiations.

We should send him our brochure language when available. He suggested keeping him informed and wanted to meet in Washington in the Fall when he was going to be in town and had a better idea of where he was going. His address and telephone number are as follows:

Mr. David Pifer
Auburn University
202 Samford Hall
Auburn, Alabama 36849-5112
205/826-5313

I'm attaching for your interest the funding levels at Auburn off our university database.

cc: Bob Seigel

THE INFORMATION BELOW IS FOR FY1986 SINCE THIS IS THE LAST DATA ISSUED BY THE NATIONAL SCIENCE FOUNDATION. ANOTHER STUDY COVERING THROUGH 1987 WILL BE ISSUED THIS YEAR. ONLY TWO CATEGORIES ARE SHOWIN IN DETAIL SINCE AUBURN WAS NOT IN THE TOP 100 UNIVERSITIES FOR FUNDING IN THE OTHER AREAS THAT ARE SHOWN IN THE TOP SCREEN.

UNIVERSITY R&D FUNDING

Institution: [Auburn University]
Address:
City: Auburn State: AL Zip: 36849

FF: 11893.0 NON FF: 36037.0 TOTAL: 47930.0

(Funding in thousands of dollars)

	FF:	Non FF:	Total:
LIFE SCIENCES	4752.0	30537.0	35289.0
ENVIRON. SCIENCES	16.0	21.0	37.0
ENGINEERING	5039.0	5144.0	10183.0
PHYSICAL SCIENCES	954.0	168.0	1122.0
COMPUTER SCIENCE	965.0	109.0	1074.0
MATH	40.0	0.0	40.0
PSYCHOLOGY	48.0	20.0	68.0
SOCIAL SCIENCES	79.0	38.0	117.0
OTHER	0.0	0.0	0.0

<ESC> - Exit <F8> - Graph <F10> - HELP! <ENTER> - Sele

LIFE SCIENCES

FF: 4752.0 Non FF: 30537.0 Total: 35289.0

	FF:	Non FF:	Total:
AGRICULTURAL	4607.0	29099.0	33706.0
BIOLOGICAL	0.0	0.0	0.0
MEDICAL	0.0	0.0	0.0
OTHER	145.0	1438.0	1583.0

<F8> - Graph Press any other key to return ...

ENGINEERING

FF: 5039.0 Non FF: 5144.0 Total: 10183.0

	FF:	Non FF:	Total:
AERO/ASTRO	373.0	104.0	477.0
CHEMICAL	664.0	1274.0	1938.0
CIVIL	246.0	675.0	921.0
ELECTRICAL	786.0	703.0	1489.0
MECHANICAL	573.0	263.0	836.0
OTHER	2397.0	2125.0	4522.0

<F8> - Graph Press any other key to return ...

Memo No.: 017

MEMORANDUM

DATE: August 11, 1988

TO: Don Fruehling

FROM: Norm Latker

As you will recall we had agreed to assist the Society of University Patent Administrators (SUPA) publish their journal. Our services were to be provided subject to a SUPA acknowledgement in the journal. I've made that offer and SUPA has accepted (including an appropriate acknowledgement).

SUPA is hoping to distribute its initial 40 to 60 page volume in mid January of 1989. In order to proceed to meet the targeted distribution and work out the details of printing, I need a contact point in Pergamon who has been authorized to assist. Would you please designate someone. Thank you.

NJL/kte

cc: Bill Miles

Memo No.: 015

MEMORANDUM

DATE: August 10, 1988

TO: Richard Carlin
Bill Miles

FROM: Norman J. Latker

The attached is very interesting. It appears to combine two of the concepts that we have been discussing for the electronic information system.

Philips volunteers to assist investigators in finding grant funding that will assist them in purchasing equipment (presumably from Philips). The Philips program seems to support our goal of putting grant solicitations and vendors on-line. The amount of information that appears to be available to Philips regarding grant programs is impressive but should be equally available to us.

cc: Jim Liverman w/attachment

PHILIPS

Philips Electronic Instruments, Inc.
85 McKee Drive
Mahwah, NJ 07430

DR. NANCY L. SHINOWARA
DIV OF NEPHROLOGY 8805
WINTHROP-UNIVERSITY HOSP
259 FIRST ST
MINEOLA, NY 11501

Attention Research Personnel . . .

NO POSTAGE
NECESSARY
IF MAILED
IN THE
UNITED STATES

BUSINESS REPLY MAIL

FIRST CLASS PERMIT NO. 98 MAHWAH, NEW JERSEY

POSTAGE WILL BE PAID BY ADDRESSEE

Philips Grant Application Assistance Program
8201 Corporate Drive
Suite 620
Landover, MD.20785

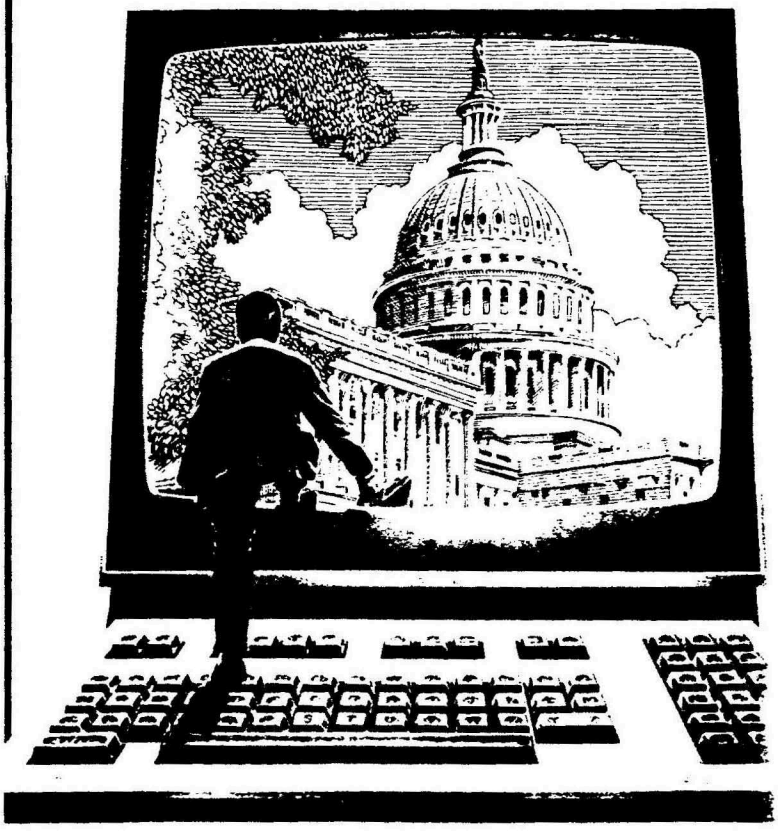
Attention Research Personnel . .

They've Hidden Money

in Washington D.C.

for Your Next Project

DO YOU KNOW HOW TO FIND IT?



Not many people do. It's tough. We Know. Cutting through government red tape and finding all the right answers about federal grant programs is time consuming and difficult. That's why we've introduced a new service specifically designed to help the research community identify and apply for federal grant support to purchase scientific instrumentation.

The Philips Grant Application Assistance Program (P.G.A.A.P.)

Here's how it works.

I. Identifies The Right Grant Program

We understand how difficult it is to receive funding in any given year. There are so many grant programs. . . so many forms. . . so many qualifications. Identifying the right grant program is the first step.

Philips has established a Washington, D.C. area based office to help you identify and track applicable federal grant programs, including:

Department of Energy

- University Research Instrumentation Program
- Used Energy-Related Laboratory Equipment Grant Program

National Institutes of Health

- Biomedical Research Technology
- Small Instrumentation Grants
- Biomedical Research Support Shared Instrumentation Program

National Science Foundation

- Engineering Research Equipment Grants
- Biological Instrumentation Program
- Instrumentation for Materials Research
- Science and Technology Research Centers
- Biological Facilities Center Program
- Chemical Instrumentation Program
- Instrumentation and Facilities Program Earth Sciences
- Research in Undergraduate Institutions Awards
- Instrumentation and Laboratory Improvement Program

II. Identifies Grant Funding Priorities

Federal grant programs often change their funding priorities. To write a successful grant application, the research community needs to understand exactly what these priorities are. Philips' Washington D.C.-based office will help you identify and track these priorities to maximize your efforts.

PHILIPS

III. Helps You Write Successful Grant Applications

We know from experience that writing a successful grant application is a learned skill. That's why we're offering you assistance in putting together your grant application. If more personalized service is needed, the Philips team will arrange to have a representative visit you, at your location, to assist in the writing of the grant application.

Don't Take Chances With Your Grant Applications!

Let Philips Electronic Instruments, Inc. Help You Get All The Federal Support You Deserve!

Fill in the attached, postage-paid reply card. Do it today! Or, call Drew Upton, our Philips Grant Application Assistance Program Director in the Washington, D.C. area.

Drew will help you identify all the relevant instrument-specific grant programs you might consider applying to. He will also walk you through the various grant programs and give you specific details regarding: program objectives, requirements and qualifications; dollars available per project, reference guides and program deadlines, key program contacts, needed application forms and other researchers who have been funded.



Learn More About The Philips Grant Application Assistance Program (P.G.A.A.P.)

Return this card today. Or call, Drew Upton at 1-301-731-9322

___ Yes, I want to know more about P.G.A.A.P. Please have a Philips representative call me.

___ I am interested in applying for a federal grant to acquire:

- ___ Scanning Electron Microscopes
- ___ Transmission Electron Microscopes
- ___ X-ray Diffraction Systems
- ___ X-ray Fluorescence Systems
- ___ Energy Dispersive X-ray Systems

Name _____

Title _____

Company _____

Address _____

City _____

State _____ Zip _____

Telephone (___) _____

Date _____



PHI

DRAFT

Memo No.: 014

MEMORANDUM

DATE: August 9, 1988

TO: Kevin Maxwell

FROM: Don Fruehling

My USET people thought the attached article may be of interest to you in light of MCC's interest in joint ventures in the Soviet Union. It seems to me that you may wish to contact James Giffen, the Chairman of Mercator. He's identified as the mastermind behind the American consortium working out a general agreement with the Soviets aimed at easing the path for future ventures. Access to the general agreement could give us a more economical and predictable way of negotiating with the Soviets. The American consortium already appears to be making progress in resolving difficult concerns on accounting rules, taxes, multiple re-entry visas and repatriation of hard currency.

In addition, you may also wish to consult with our USET people regarding the acquisition of information on new technology from the Soviets since they have already negotiated similar transactions with publicly funded organizations in France and Great Britain. If you should be interested in that matter, please call Bill Miles at 203/255-6044.

cc: Simon May (check spelling - telephone in London 822-2000)
Bill Miles
Norm Latker
Jim Terragno w/article

American consortium already appears to be making progress in

Taking a Team Approach to Soviet Trade

After three months, an American consortium has finally begun to cut through the red tape.

By CLAUDIA H. DEUTSCH

ROBERT J. CARBONELL remembers it all too well. About 12 years ago, Standard Brands Inc. (now a part of RJR Nabisco Inc.) was talking to a since-disbanded branch of the Soviet Union's agricultural ministry about producing high-fructose corn syrup in Russia. Soviet officials broached the idea, so presumably they did all they could to ease the company's path.

Still, the obstacles proved insurmountable. "In those days, when you went to Moscow as guests of a specific group, that was the group you dealt with," said Mr. Carbonell, who was with Standard Brands at the time. "Well, we needed to look at supplies of energy, of machinery, of other things that were not in the jurisdiction of the agricultural branch. It was impossible even to make contacts. The project never got to first base."

Mr. Carbonell, now vice chairman of RJR Nabisco, is trying again. This time, things are likely to go a lot more smoothly. The reason: RJR and six other companies — Eastman Kodak, Johnson & Johnson, Chevron, Ford Motor, Archer Daniels Midland and the Mercator Corporation — formed the American Trade Consortium in April to try to accomplish as a group what had seemed impossible to do alone. The Russians, meanwhile, have formed their own consortium, consisting of representatives from several ministries, to deal with the American consortium.

Throughout this spring and summer, high-level executives at the American companies have been shuttling to and from Moscow, trying to negotiate joint ventures for such diverse products as cars, oil and breakfast cereals. Simultaneously, officials from both consortiums have been arguing over such sweeping concerns as tax and accounting rules, multiple re-entry visas for Americans working in the Soviet Union and repatriation of hard currency. The hope is that by December not only will each company have its own joint ventures pretty well laid out but that the two consortiums will have hammered out a general trade agreement that will ease the path for all the ventures.

"The idea of the consortium is that people could get a critical mass together," said James H. Giffen, the mastermind behind the consortium and the chairman of Mercator, the merchant bank that is advising the companies. "There is no need to reinvent the wheel in every negotiation."

Maybe not — but in Russia, greasing wheels is more important than inventing them. And Mr. Giffen, a well-known authority on American-Soviet trade for 25 years, has a reputation as a wheel-greaser par excellence. He is said to know everyone there is to know in the Soviet Union and to use those contacts to cut through red tape.

Even the Chevron Corporation, which at first balked at what are generally said to be very stiff fees charged by Mercator, was lured in by that reputation. "He is on a first-name basis with every minister," said John H. Silcox, president of Chevron Overseas Petroleum Inc., the Chevron unit involved with the consortium. "He could clearly help us work through the bureaucracy."

Such help is needed. In 1986, as part of Mikhail S. Gorbachev's restructuring of the Soviet economy, the Soviet Union passed a law allowing foreign companies to own 49 percent of joint ventures they might set up with Soviet enterprises. But some aspects of the law are maddeningly vague. For example, it allows "access" to the venture's financial data but does not define what access means. Mr. Giffen has negotiated the right to take copies of financial documents out of the Soviet Union.

He has negotiated where arbitration of disputes would take place (Sweden). And he is now trying to insure that Americans working for the Soviet joint ventures are allowed to bring in televisions, video cassette recorders and other household items.

The process, even with Mr. Giffen clearing the way, remains painfully slow. "The Soviets say that everything will be wrapped up in three or four months," said Robert R. Reilly, executive director of corporate strategy for the Ford Motor Company. "I'm thinking in terms of multiples of months. There will be false starts, ups and downs. This thing will be evolving for the next 10 years."

So why bother? "The waiting list for Soviet-made cars is four years long," Mr. Reilly said. "It is perhaps the world's biggest untapped market."

The Soviet Union remains one of the world's most difficult markets to penetrate. Amenities that Americans take for granted are virtually nonexistent. There are perpetual shortages of consumer goods. Roads and railroads are poor. Visas are needed to travel between cities. Communications technology is archaic.

Even picking a product to make is a herculean task. For companies like Chevron, Archer Daniels or Ford, the categories are clear: oil, processed agricultural products and cars. Johnson & Johnson's choices will be health-related.

But for widely diverse companies, agreeing on a product can take months. The Eastman Kodak Company, for example, went to the negotiating table long before the consortium was announced. It suggested nine projects; Soviet officials suggested another four. Then the weeding out began. The Russians wanted to make photographic film; Kodak decided it did not need more film capacity. Kodak suggested a film-finishing operation; the Russians said no. "They saw it as the tail end of the process, and they want to encourage self-sufficiency," said David Harari, manager of countertrade activities at Kodak.

The negotiators finally settled on two projects: floppy disks for computers, and Ektachem, a blood analyzer. Both products, Mr. Harari said, fit in with Kodak's expansion strategy and with Russia's push for self-sufficiency. Personal computers are proliferating in the Soviet Union, he said, and health care is a priority for Mr. Gorbachev.

To Mr. Harari, the two products are door-openers, not an end in themselves. "We hope to gradually evolve distribution ventures for a full range of Kodak products in the Soviet Union," he said.

If that range includes a lot of consumer products, Mr. Harari may be buying trouble. For consumer goods companies, selecting products for the Soviet Union can be like shooting at a target through an opaque screen. Consumer research is unknown there. That means that companies must choose products with only a hazy idea of whether Soviet citizens would prefer them sweeter or saltier, in pre-packaged portions or family packs, or any other variation on the theme.

RJR, which hopes to make and sell baked goods, cereals and cigarettes, faces a huge product-winnowing task. It had little trouble deciding on cigarettes, since American cigarettes generally sell well around the world. Wheat-based food items were also a natural choice, since wheat is plentiful in the Soviet Union.

But picking which wheat-based products remains hit or miss. There has been seat-of-the-pants research of a sort — Mr. Carbonell and his executives brought crackers and cookies to try out on Soviet officials during negotiations, and discovered they liked Ritz and a few others. But in practical terms, there is just no consumer preference data available. So far, RJR has decided on Ritz and Premium crackers, which Mr. Carbonell says have been successful in every market RJR sells to. And it is combing its worldwide sales data for other cracker and cookie candidates.

CEREALS represent a total shot in the dark. There is no way to know whether Soviet citizens will take to the concept of cereal for breakfast in the first place (a typical Moscow breakfast is bread, eggs and sausage). And if they do, will they want hot cereals or cold cereals?

RJR plans to hedge its bets, by making cereals that run the gamut from shredded wheat to cornflakes to cream of wheat. Eventually, the venture will do market research and refine the product mix accordingly. It will take time before research yields realistic figures, though. Soviet consumers have grown accustomed to buying whatever is available, and chances are they will snap up any Nabisco product — at first. "If someone were on a deserted island, and you dropped a case of Oreos, you don't have to do market research to know it will be consumed," Mr. Carbonell said. "Well, the Soviet population is so hungry for consumer products that it will be very difficult to read a new product immediately."

For now, RJR is expecting to design and engineer two food plants, and to modernize an existing cigarette factory. It expects to have the plants running within 12 to 18 months after the general trade agreement is completed — and to get a 20 percent return on its investment soon after that.

That may be overly optimistic, for there still are numerous hurdles to overcome. Take access to supplies and workers. For Soviet enterprises, supplies are allocated according to a state plan. The joint ventures, by law, are exempt from that plan — which means they do not have guaranteed sources of supplies.

"The Soviets are planning a wholesale market at which the joint ventures can buy supplies, but they don't yet know how to buy directly," said Russell H. Carpenter Jr., a Washington lawyer with extensive Soviet experience.

SELLING may be a problem, too. The idea that one company should be responsible for manufacturing, pricing, selling and servicing a product is alien in the Soviet Union. Cars, for example, are produced there by one ministry, yet priced and sold by another. "It's not like the West, where a manufacturer can enforce standards of service and sales," said Mr. Reilly of Ford.

Currency issues remain a sticking point, too. In a sense, Soviet officials are pursuing conflicting goals. They want to generate hard currency, which would dictate that the ventures concentrate on goods for export. Yet they also want to increase the amount of consumer goods at home.

So far, the Russians are insisting that before members of the American consortium can repatriate their share of joint venture profits, the total amount of money all the joint ventures spend to import products, materials or anything else must be offset by hard currency they bring in from exports. But of all the proposed ventures, only Chevron's, for oil exploration and production, is clearly export-oriented. It is highly unlikely, at least at first, that the Chevron venture will generate enough cash to cover the costs of the others.

And not all Americans relish the idea of exporting from the Soviet Union. "To send a product into Western Europe to compete against products we build there would defeat our goals," said Mr. Reilly, adding that Ford would not enter any deal in which exports are a prerequisite.

Few companies are going the countertrade route — accepting Russian products like vodka as payment, then reselling them in the West. Although that has been a hugely profitable venture for Pepsi-Cola International for more than 15 years, not all companies want to bother with taking products into markets they do not know. RJR, for example, is not even contemplating countertrade.

Kodak is more willing to try the option. But willingness is not tantamount to execution. Mr. Harari says that Kodak has tried — unsuccessfully — over the last few years to establish countertrade in Russia. "If you found something to export out of Russia, it was always in a different ministry than the one you were selling to, and they had no internal need of bridging between them," he said.

Now the Russians, through their own consortium, are trying to create that bridge. "The Soviets have always been interested in American goods," said Mr. Carpenter, the lawyer. "Now, they are interested in investment by the very capitalists their ideology has railed against."

That interest may just motivate them to keep the wheels of business well-oiled. And the consortium's clout may also keep undue interference from Washington at a minimum.

Many American executives still smart when reminded of how swiftly President Carter, in response to the Soviet invasion of Afghanistan, imposed trade sanctions that effectively cut off American business with Russia. Consortium executives hope that their combined clout will make any current Administration less willing to impose sanctions should political talks take a sour turn.

"The idea of 'the more the merrier' defrays the political risk somewhat," said Mr. Silcox of Chevron. "I feel more secure in the consortium." ■



Soviet officials and U.S. businessmen signing protocol in April to start talks on a trade agreement to help joint ventures.



Mikhail Gorbachev with the consortium's James H. Giffen.

On the Drawing Board

The member companies of the American Trade Consortium and some of the joint ventures in the Soviet Union they are negotiating. One of the companies, the Mercator Corporation, is acting as merchant banker to the group and its chairman, James H. Giffen, is the main negotiator.

Archer Daniels Midland — Oilseed processing, edible oil refining and the production of starch and sweeteners.

Chevron — Oil exploration and development.

Eastman Kodak — Production and sale of blood analysis equipment and floppy disks for personal computers.

Ford — Sale of Ford cars or car kits in the Soviet Union; helping the Soviet auto industry build better cars.

Johnson & Johnson — Production and sale of health-related products.

RJR Nabisco — Production and sale of crackers, cookies, cereals and cigarettes.

Memo No.: 016

MEMORANDUM

DATE: August 11, 1988

TO: Richard Carlin
Bill Miles

FROM: Norman J. Latker

I solicited the attached information from Dr. Dvorkovitz. Two pieces are very interesting. The format for inputting information into his electronic information system is the best I've seen. I gave you both the first page of the format earlier, the second page you have not seen before.

In addition, in my conversation with Dvorkovitz he recognized that the "British Expertise in Science & Technology" (BEST) database was similar to what we intend to develop for U.S. Universities and Federal Laboratories. A description of BEST is attached. It seems to me to be a valuable database that we should be able to gain easy access to. I will try to locate a contact point in London.

NJL/kte

attachment

cc: J. Liverman, w/attachment

TechEx (est. 1972)
The Annual World Fair For Technology Exchange

Dr. Dvorkovitz & Associates

TELEPHONE: 904-677-7033
TELEX: 494-0321
CABLE: DVORKOVITZ
ORMOND BEACH, FLORIDA
TELEFAX/FACSIMILE: (904)677-7113

P.O. BOX 1748, ORMOND BEACH, FLORIDA 32075-1748 U. S. A.

August 8, 1988

Mr. Norman Latker
UNIVERSITY SCIENCE, ENGINEERING
TECHNOLOGY CORP.
8000 West Park Drive
McLean, Va. 22102

Dear Mr. Latker:

I enjoyed our phone conversation today.

I found we had only sent you a copy of the first page of our submission form. This is now enclosed. Also, a good copy of the 4-page description, etc.

Finally, I am enclosing the catalog of Eurotech held in Glasgow 16-19 March. You will find a reference to BEST in the Longman Cartermill Ltd. entry on page 19. However, several of the universities exhibiting there also had terminals on their stands demonstrating the search and retrieval characteristics.

At one of the stands I learned that the software for BEST was originally obtained from Battelle. I don't know how much of it was adapted or changed.

Looking forward to seeing you here in Ormond Beach,

With kind regards -

Very truly yours,

Vladimir Dvorkovitz

ak
encl

Dr. Dvorkovitz & Associates

P.O. BOX 1748

ORMOND BEACH, FLORIDA 32075-1748

TELEPHONE: 904-677-7033
TELEX: 494-0321
CABLE: DVORKOVITZ
ORMOND BEACH, FLORIDA
TELEFAX/FACSIMILE: (904)677-7113

SUBMISSION FORM - WORLD BANK OF LICENSABLE TECHNOLOGY

Please complete both sides in English, using one form for each product or process and return to the attention of the Data Processing Department, together with any additional non-confidential information, a dossier, that gives more details about the technology. We will make copies of this as requested to send to prospects after an expression of interest based on the material in the submission form.

Products and/or processes described on this form will be evaluated, and inclusion in our files is entirely at the discretion of Dr. Dvorkovitz and Associates, whose prime criterion will be the potential value to the subscriber.

Information contained on this form is non-confidential except as noted.

If you wish to include your own reference number assigned to the product and/or process, please indicate it as part of the title.

DP Com Lic. ST Ref. PC TE

Licensor: (Either inventor or his attorney or corporation having the right and/or responsibility for licensing or sale of know-how)

_____

_____

_____

_____

Direct inquiries to:

_____
Name

_____
Position/Title

Note: Each line below is limited to no more than 70 characters including spaces, punctuations, etc. Storage space in the computer will accommodate only the number of lines indicated. Some character space may be lost in order to hyphenate in the proper place when words must be continued on a subsequent line. If the number of words entered in any one section exceeds the maximum permitted, the excess must be omitted and some of the meaning may be lost. Prepare the explanation to stay within the space allocated, while incorporating the most important aspects of the invention.

When subscribers search the World Bank via computer terminal they obtain a list that shows only the 2 line title. Make sure the title you provide adequately describes the technology - otherwise potential licensees may never see the other data you have provided.

Explanatory Title: _____

_____

Description: _____

_____

_____

_____

_____

_____

_____

_____

_____

_____

Main use or application: _____

_____

_____

Main Advantages: (comparison with existing technology is extremely helpful) _____

_____

_____

_____

_____

Date: _____ **Signature:** _____

THIS FORM MAY BE COPIED AND USED FOR SUBMISSION OF ADDITIONAL ITEMS

(Over)

PLEASE INDICATE BELOW COUNTRIES WHERE AVAILABLE FOR LICENSE, PATENTED, ETC.

COUNTRY	PATENT AWARDED or PATENT APPLIED FOR	AVAILABLE FOR LICENSE	LICENSED AND OR COMMERCIALIZED
ARGENTINA	☐	☐	☐
AUSTRALIA	☐	☐	☐
AUSTRIA	☐	☐	☐
BELGIUM	☐	☐	☐
BRAZIL	☐	☐	☐
BULGARIA	☐	☐	☐
CANADA	☐	☐	☐
CHINA	☐	☐	☐
COLUMBIA	☐	☐	☐
CZECHOSLOVAKIA	☐	☐	☐
DENMARK	☐	☐	☐
EAST GERMANY (DDR)	☐	☐	☐
EUROPE	☐	☐	☐
FINLAND	☐	☐	☐
FRANCE	☐	☐	☐
GREECE	☐	☐	☐
HUNGARY	☐	☐	☐
INDIA	☐	☐	☐
INDONESIA	☐	☐	☐
ISRAEL	☐	☐	☐
IRAN	☐	☐	☐
ITALY	☐	☐	☐
JAPAN	☐	☐	☐
KOREA	☐	☐	☐
MEXICO	☐	☐	☐
NETHERLANDS	☐	☐	☐
NORWAY	☐	☐	☐
PERU	☐	☐	☐
POLAND	☐	☐	☐
PORTUGAL	☐	☐	☐
ROMANIA	☐	☐	☐
SOUTH AFRICA	☐	☐	☐
SPAIN	☐	☐	☐
SWEDEN	☐	☐	☐
SWITZERLAND	☐	☐	☐
TURKEY	☐	☐	☐
UNITED KINGDOM	☐	☐	☐
USA	☐	☐	☐
USSR	☐	☐	☐
VENEZUELA	☐	☐	☐
WEST GERMANY (BRD)	☐	☐	☐
YUGOSLAVIA	☐	☐	☐
SINGAPORE	☐	☐	☐
THAILAND	☐	☐	☐
CENTRAL AMERICA	☐	☐	☐
NIGERIA	☐	☐	☐
MALAYSIA	☐	☐	☐
PHILLIPINES	☐	☐	☐
OTHERS*	☐	☐	☐
WORLD-WIDE	☐	☐	☐

*Please list in space at right

• DR. DVORKOVITZ and ASSOCIATES 1983

1. **Degree of commercialization or development:**
   Plans only ☐ **Pilot** ☐ **Appropriate for**
   Lab or Prototype ☐ **Production** ☐ **developing nations** ☐

2. Economic data available? Yes ☐ No ☐
   (e.g. unit cost, production cost, etc.) Amplify below if necessary.

3. Know-how available? Yes ☐ No ☐

4. Type of license: Exclusive ☐ Non-exclusive ☐
   Optional ☐ Joint Venture ☐
   Exclusive Sales Agency ☐

5. May we freely disclose your company's identy? Yes ☐ No ☐
   a. if no, do you wish referral to obtain permission ☐
   or may we release on expression of interest ☐

6. Secrecy agreement required to obtain additional information. Yes ☐ No ☐
   a. if yes, only on payment of option? Yes ☐ No ☐

7. Please list up to four (4) patent numbers of the more important countries where such protection is available

COUNTRY	PATENT NUMBER

8. Please indicate present licenses if any:

9. What former negative contacts have been made?

10. Please list other companies not to be contacted, if any:

THIS INFORMATION IS KEPT CONFIDENTIAL

Use this space to add any information about this technology that you think particularly important (unit price, special features, etc.), other countries where patented, available for license, commercialized, etc.

PLEASE GIVE US YOUR:
TELEPHONE NO:
TELEX NO:
TELEFAX NO:

Please also give us your:
Telephone No:
Telex No:
Telefax No:

DS) administers an
istance and advice to
y stage of a project,
t and launch, to
oduction stage, as well
eive support from one
to find out if you

Stand 2115

idustry now includes
ex, Phoenix and
actories plus serviced
Park are ready for
west sole

Knowledgelink — Stand 3021

George House
36 North Hanover Street
Glasgow G1 2AD
Tel: 041-552 1353
Fax: 041-552 4245
Telex: 265871 monref g Quote ref GOW011

Knowledgelink (Intelligent Terminals Ltd) was set up in 1970 to undertake consultancy in the field of Artificial Intelligence, advising on software problems and techniques and the building of expert systems. In September 1987 Infolink Ltd, a leading credit reference agency, acquired a controlling interest in Intelligent Terminals Ltd, now trading as Knowledgelink. Knowledgelink have experience of building expert systems in a wide range of application areas including credit assessment, risk analysis and system configuration and past major consultancy clients have included: BP Engineering, ITT Europe, Mitsui & Co (Japan), Concurrent Computer Corporation.

Longman Cartermill Ltd — Stand 3323

Technology Centre
St Andrews KY16 9EA
Tel: (0334) 77660
Fax: (0334) 77180

'British Expertise in Science and Technology' is the UK's official and unique information service covering all areas of science and engineering as well as social and management sciences. The information contained on BEST is detailed and up-to-date and covers the research, expertise and services available in the UK's universities, polytechnics and government research establishments. It can be used to find particular expertise, assess research findings, solve problems, scan relating research fields, diversify, stay abreast of the latest research developments and so on. Users currently include many of the largest international companies as well as a range of smaller companies. Also development agencies, local authorities, government departments, consultancies and venture capital companies are users of the system.
Available for demonstration is BEST Services, an extension of BEST which covers technical capabilities and consultancy skills within the private sector. Online subscribers to BEST are able to place their own entries into BEST Services. The third database online, STEM, is a recruitment database containing detailed CVs of final year postgraduates and postdoctorals seeking employment.

west sole — covers the research, expertise and services available in the UK's

Dr. Dvorkovitz & Associates

TELEPHONE: 904-677-7033
TELEX: 494-0321
CABLE: DVORKOVITZ
ORMOND BEACH, FLORIDA
TELEFAX/FACSIMILE: (904)677-7113

P.O. BOX 1748, ORMOND BEACH, FLORIDA 32075-1748 U. S. A.

We have been involved in licensing and eventual marketing of over 1000 developments that have been commercialized, utilized or marketed in almost every country of the world. They range from high-tech to low-tech developments.

SOME EXAMPLES OF OUR SUCCESSES

In Japan an original French development now sells over 50,000,000.00 U.S. Dollars per year by a Dow Subsidiary (Funai) and is a major anti-arrhythmic agent.

EPT - the pioneer Early Pregnancy Test - sold in the U.S. by Warner Lambert.

GAVISCON - sold in the U.S. by Marion Laboratories and in Europe and other parts of the British Commonwealth by Westminster Laboratories of Reckitt & Coleman.

PRISTEEN and other feminine hygiene products sold in the U.S. by Warner Lambert.

The JARVIK Artificial Heart was displayed at one of our early University/Industry Forums - for the first time in Chicago.

YOPLAIT - the yogurt of France - was displayed at one of our more recent TechEx events and now sells over $300,000,000 in the USA alone by General Mills.

Most of the developments we handle are obtained by our representatives calling on companies, research institutes, etc., throughout the world. We go anywhere where there is the possibility of original work and try to obtain permission for licensing it to our clients - most generally in other countries.

LICENSING IS AN INTERNATIONAL BUSINESS -- you cannot expect to do business favoring one party or another. We must be and are an honest broker - marriage broker - trying to effect the best deal, and that is one when both parties start happy and stay happy at least until the contract expires.

Because of both the wide territorial and technology range, we have had to develop tools to facilitate our activities. Thus, we pioneered a unique trade fair - TECHEX - that brought universities, research institutes, companies and others that had technology available for licensing together with executives of companies seeking new developments to augment their own R & D.

We have held 23 of these -- 14 in the USA, 1 in Canada, 2 in France, 1 in Austria, 1 in Copnehagen, 1 in Tel Aviv, 1 in Singapore, 1 in Colombo/Sri Lanka and one in Milan. These 4-day events usually had 4000 to 5000 technologies on offer and if they were not licensed at the event, they helped build up our register of licensable technology. They also brought new licensors to our attention and allowed us to follow up to obtain developments when they were completed.

The other major tool was the installation of a mainframe computer back in 1971 to handle, sort, search and retrieve the technologies of potential interest to clients. Since then we upgraded our computer with newer and more advanced and faster models, until our last mainframe - an IBM 370/138.

We also pioneered on-line searching worldwide. Our clients in Asia, Europe, etc., could make a local phone call and be connected by one or other of the package switching systems and come right into our computer here in Florida and obtain the necessary information direct.

It was these techniques that allowed us to easily handle the many new technologies that we obtained, as always direct from the licensors.

In the seventies and early eighties on-line use was not as easily understood and utilized as now when its use is commonplace for almost every conceivable need.

To keep abreast of new techniques apart from continuously changing the priorities of our search for new developments, we have made two major changes:

1. We have sold the operation and management of our TECHEX events - both in Europe and America. The new owners will continue substantially as before and our contract with them assures that the technologies offered at these events will also be available for our clients just as before. In essence, we are expanding the personnel involved in searching for new developments.

2. We now find that developments in the computer industry allow us to use advanced microcomputer techniques with laser printers to allow us on-line search and retrieval capability at a fraction of the former price.

Instead of millions of dollars and literally tons of hardware in mainframes, we can accomplish all we need to do with State of the Art, almost portable, microcomputers assisted by laser printers. Thus, we have redirected our activities and instead of having one major mainframe computer in the USA which must be accessed through relatively expensive phone calls, we can now have many identical microcomputers located in strategic areas throughout the world at an overall reduced cost.

Thus, already we have identical on-line computers in the USA, Europe and Asia, all offering the same data bank or registry of technology available for licensing - all on-line - and all interconnected so that a technology received in our Tokyo office could be on the desk of a client in Europe or America within minutes and vice versa.

Clients can list their needs and automatically we can send the pertinent material to them as it comes to us - over and above their ability to search at any time for anything of interest that may have just surfaced.

Relieved of the responsibility of managing TechEx, we have been scheduling more appearances at other exhibitions where we can both seek clients and new developments.

Our experience in visiting research institutes throughout the world gives us insight into the fact that many famous and prolific centers are ignored by many scientists and engineers because of the language, cost and relative remoteness.

Thus, we are arranging and handling symposiums whereby teams of world renowned scientists and engineers travel from their home base to centers in other countries, e.g., the USA, Japan, etc., to give a series of lectures about new developments and the ongoing work in specific disciplines.

The next such symposium is on behalf of the Czechoslovakian Academy of Sciences and Polytechna, their government licensing group, and a copy of the program is enclosed.

relatively expensive phone calls, we can now have many identical microcomputers

We have done this in the past for groups from the USSR in pharmaceuticals and medical equipment. Now we are increasing this type of activity. Once you are on our mailing list you will receive timely information about events in your technical expertise.

Write, phone or telefax us for information about the nearest center for you to contact regarding an on-line relationship.

We cannot list all here, other than as shown, since we are continuously adding new centers who can then offer the complete service in their territory and at terms best suited to the locality and industry.

# # # # #

We are sending you this information since we think you could be interested in becoming a center to serve a territory. We can offer you:

1. Our complete data bank

2. Regular updates from the other centers now and expanded in the future.

3. Our complete software to allow:

   a) storage of information
   b) searching
   c) retrieval
   d) indexing
   e) client list

   (easy changing and updating of all of the above)

   f) on-line capability
   g) storage of clients' interests so automatic delivery of pertinent information can be made
   h) ability to handle information in most languages, e.g., English, French, German, Italian, Spanish, etc., and to search and extract information in these languages.
   i) ability to add technology only available for your territory and keeping it separate from technology of the worldwide data bank
   j) ability to search for individual contacts and obtain new affiliations if a person moves to another company.

The attached lists the minimum hardware required with current U.S. prices. These can differ in other countries because of taxes, import restrictions, etc.
It is low cost and almost portable compared with the original cost of mainframes and its weight is now measured in pounds instead of tons.

However, much of the equipment is replacable with compatible equipment from other manufacturers. We can advise you as to its suitability. You might be able to obtain some items at even lower cost.

We are prepared to make a definite proposal with costs based primarily on the territory you wish and if it is still available.

We have taken space at a timely exhibition -- CHEMSPEC 88 at the Sheraton Airport Hotel in Frankfurt, Germany - March 23 and 24, 1988. Because of the simplicity of the equipment we are bringing the complete computer system equipped with our entire data bank and client list to this exhibition for demonstrations in room 5051.

We can show you and you can even operate the equipment to do everything listed above.

We expect we will have many visitors interested in becoming clients and having on-line access.

It is possible that if you do desire to become a center, you may start off with a new client list obtained just from among the attendees at CHEMSPEC.

A list of the exhibitors and other information about Chemspec is attached.

For a fee, we would be willing to take the equipment to a site in your territory for demonstrations to others in your organization. This fee would be a non-refundable deposit against the cost of licensing the entire system.

DR. DVORKOVITZ & ASSOCIATES
P O Box 1748
Ormond Beach, Florida 32075

Telephone: 904 677 7033
Telex: 4940321
Telefax: 904 677 7113

John S. Cronin
P. O. Box 1321
Ormond Beach, FL 32075
(904) 672-3191

Specifications for new computer system for Dr. Dvorkovitz & Associates/Milan

Hardware

Proteus 386A Supermicro	$ 7,500
Intel 80386 CPU 6/20MHz. 0 wait states	
4 MB Random Access Memory	
Battery powered Clock Calendar	
80287 Co-processor socket	
2 serial ports	
2 parallel ports	
8 I/O slots on motherboard	
1.2 MB Floppy Drive w/controller	
101 Key Keyboard	
High Resolution EGA Color Monitor w/EGA Graphics	
307 MB CDC Wren IV Fixed Disk w/SCSI controller	$ 4,995
4 serial port intelligent expansion board	$ 995
NEC LC890 Page Printer (Laser Printer)	$ 4,250
8 pages per minute	
3 MB RAM	
35 resident PostScript fonts	
2-250 sheet input bins	
Adobe PostScript	
HP LaserJet + Emulation	
Diablo 630 Emulation	
4 interfaces	
Parallel	
Serial RS 232	
Serial RS 422	
Appletalk	

Software

PC-MOS 386 Multiuser/Multitasking Operating System	$ 595
5 user version	
expandable to 25 users	
PC or MS DOS compatible	
RBase System V database manager	$ 550
WordStar 2000 word processor	$ 350
Total	$19,235

August 4, 1988

MEMORANDUM TO: FILES

FROM: NORMAN LATKER

On July 29, Jim Liverman gave me a copy of a schematic which was prepared while I was in Houston. The schematic was similar to the one I had developed for the USET business plan, copy attached. The primary difference, other than formatting, involved the inclusion on the same line with USET, a box showing the Maxwell Research Foundation in the technology flow between the creating organizations and USET. I consciously put the schematic in a pile of my papers so it was not exposed and could be easily retrieved to discuss with Bill Miles when he became available on 8/4/88.

On the morning of August 2, when passing by the receptionist's desk, I noticed that Brent, a USET temporary employee, was about to make corrections to a draft paper which I could not identify as USET's. The title of the paper (to the best of my recollection) was: "Agreement between Maxwell (Corporation or Foundation?) and the USSR on Scientific Information".

I began leafing through the document and noticed it contained among other things a provision for "Intellectual Property Rights". I stopped when Brent protested that the document was being prepared for Dr. Markessini at Dr. Harmison's request and he (Brent) was told not to disclose it to anyone. Because of the dilemma I perceived Brent had been placed in, I decided not to pursue the matter further, other than reporting it to Bill Miles.

Approximately an hour later, Ilse Metz (Harmison's secretary) indicated that Dr. Harmison wished to speak to me. When I entered Harmison's office, it was evident he was not in control of his emotions. He began by saying "I do not work for you" (a matter I never previously doubted or challenged). He then proceeded to berate me in a very loud voice which I knew could be overheard through the office since I had not closed the door. The crux of his complaint was that I was in the process of stealing his intellectual product and he had evidence since he knew that I looked at the agreement Brent was preparing and was in possession of the schematic mentioned above. He used some threatening language which suggested that he meant to bring my character into question outside this conversation. At this point, I began to leave, while warning him that I would not stand by idly if he made any attack on my integrity. He then told me "to get out of his office" (which I was pleased to do).

I returned to my office and immediately attempted to retrieve the schematic from where it was left. I was shocked to find it gone. I am certain that Harmison's reference to it could have only been possible by his finding it on my desk. I discussed the incident with Jim Liverman who indicated that he had detected that someone had also been through his files.

Later in the day, Kim, a USET employee, told me that she had already advised Frank Altieri that she was leaving and was now giving two weeks notice beginning August 3.

I found all the above events ironic, since I earlier took the initiative to cut off such incidents by getting Harmison to orally agree to contain his use of staff to Dr. Markessini and Ilse. Notwithstanding what I believed to be a reasonable interim arrangement, Harmison is now using Altieri exclusively and regularly intrudes on Brent and Kim's USET assignments. Given Harmison's habit of taking without discussion, and Brent and Kim's imminent departure, making an issue of the situation seems useless.

Further, Harmison's accusations are not only groundless but hypocritical given that the initial concepts of the schematic and the Maxwell/USSR into technology management were suggested and developed by myself, not Harmison. In that regard, I am also attaching a copy of the memo that I drafted for Harmison to Robert Maxwell on the eve of Robert Maxwell's trip to the USSR last spring.

I believe Harmison's anger was probably fueled not by any action I took (which at best was innocent observation of actions undertaken by Harmison) but his well documented paranoia that someone else might have to be given partial credit for his initiatives.