



## **2007 Annual Report**

Prepared for:

The Honorable Matt Blunt, Governor

The Honorable Rod Jetton, Speaker  
Missouri House of Representatives

The Honorable Mike Gibbons, President Pro Tem  
Missouri Senate

Missouri Technology Corporation  
Jefferson City, Missouri

November 1, 2007



**Matt Blunt**  
Governor

**Donn Rubin**  
Chair

November 1, 2007

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The Honorable Rod Jetton, Speaker  
Missouri House of Representatives  
State Capitol  
Jefferson City, Missouri 65101

The Honorable Mike Gibbons  
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Missouri Senate  
State Capitol  
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Dear Governor Blunt, Speaker Jetton and President Pro Tem Gibbons:

As required by state law in section 348.256 (6) RSMo, I am hereby submitting the Missouri Technology Corporation's 2007 Annual Report. The Missouri Technology Corporation's Board of Directors approved the report at its meeting held on October 29, 2007. We believe the report is a fair and accurate description of the structure, operations and financial status of the MTC.

Please contact us should you require more information about the Missouri Technology Corporation or its role in helping Missouri's economy prosper through the better development and use of technologies.

Very truly yours,

Donn Rubin  
Chair

c: MTC Board of Directors

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## Introduction

This 2007 Annual Report of the Missouri Technology Corporation (MTC) is written in response to the legal mandate contained in Section 348.256(6) RSMo, which states:

*“The corporation shall submit an annual report to the governor and to the Missouri general assembly. The report shall be due on the first day of November for each year and shall include detailed information on the structure, operation and financial status of the corporation. The corporation shall conduct an annual public hearing to receive comments from interested parties regarding the report, and notice of the hearing shall be given at least fourteen days prior to the hearing.”*

In order to comply with the law, the MTC report is due to be completed and submitted to the Governor, the Senate President Pro Tem, and the Speaker of the House on November 1, 2007. MTC plans to conduct the annual public hearing in October, 29 2007 in order to receive comments from interested parties regarding the work of the organization of the past year

## MTC’s Legislative Mandate

The Missouri Technology Corporation (MTC) is a private not-for-profit corporation established pursuant to Sections 348.251 to 348.266 of the RSMo and subject to the provisions of Chapter 355, RSMo. The purposes of the MTC are to help strengthen the economy of the state through the development of science and technology, to promote the modernization of Missouri businesses by supporting the transfer of science, technology and quality improvement by providing leadership in the establishment of methods of technology application, technology commercialization and technology development.

In accomplishing its goals, the MTC has broad powers that allow for a wide range of activities that enhance research and development, technology transfer and commercialization. For example:

- The MTC is able to assist in establishing cooperative associations of universities and private enterprises in Missouri for the purpose of coordinating research and development programs.
- The MTC can establish a statewide business modernization network to assist Missouri businesses in identifying ways to enhance productivity and market competitiveness.
- The MTC can specify areas where scientific research and technological investigation will contribute to the improvement of productivity of Missouri manufacturers and identify scientific and technological problems and opportunities related to the economy of Missouri and formulate proposals to overcome those problems.

- It can also make direct seed capital or venture capital investments in Missouri business investment funds or businesses that demonstrate the promise of growth or job creation.

## **MTC Progress Report**

During 2007, MTC became integrally involved in a number of the Missouri's most significant technology programs and initiatives. Among those were Governor Blunt's Lewis and Clark Discovery Initiative and the Missouri Life Sciences Trust Fund. MTC also continued to oversee the operations of the Missouri Innovation Centers, which now includes nine centers with this year's approval of the Warrensburg Innovation Center. Below is a complete summary of the organization's activities for calendar year 2007.

### **Governor Blunt's Lewis & Clark Discovery Initiative (LCDI)**

Signed into law in May of this year, the Lewis & Clark Discovery Initiative will provide Missouri's colleges and universities with \$335 million in total funding for facility and infrastructure improvements. LCDI is a statewide plan to enhance the Missouri higher education system's position as a national leader in scientific research and education. New research labs, teaching facilities, business incubators, and a plant science research center will be constructed. Funds provided by the initiative will be augmented by more than \$230 million in federal and local matching money, resulting in a total investment of approximately \$550 million, one of the nation's largest and most comprehensive higher education building programs.

In addition to these funds targeted toward research and education, \$15 million was earmarked to MTC for various programs designed to improve commercialization of Missouri technologies. The funds are focused on three main areas of need: 1) improving collaboration between public and private sector research institutions; 2) facilitating technology commercialization at all phases; and 3) enhancing technology company recruitment efforts. MTC will utilize these funds to work with the state's research institutions, industry, technology commercialization service providers, and capital investors to maximize the opportunities created by Missouri research.

Selected programs created by LCDI are highlighted below.

#### Missouri Power Resource Center

In conjunction with the University of Missouri-Columbia, the University of Missouri-Rolla, Missouri State University and Missouri Southern State University, MTC is helping to lay the groundwork for a power resource center in Joplin, Missouri. The Missouri Power Resource Center will partner with industry leading Missouri companies, such as Eagle Picher, Inc., focused on cutting-edge technology related to power and next generation batteries. Areas of emphasis will include nano-technology, nano-materials, and micro devices. Applications for these technologies span a vast range of increasingly important uses – from space travel to nuclear power to "green" automobiles. \$200,000 in funding was included in LCDI for costs associated with the planning and development of this project as well as associated programs at partnering universities.

#### High-Tech Small Business Incentive Program

MTC has been allocated \$1.25 million to be utilized for loans to high-tech small businesses located in Missouri. These funds will be invested in recipients of federal Small Business Innovation Research (SBIR) Program and Small Business Technology Transfer (STTR) Program grant funds. These loans are designed to address a funding gap between Phase I and Phase II SBIR awards when many high-tech small businesses are at greater risk of failure or relocation to states with incentives targeted toward relocation of promising start-ups. \$100,000 of these funds will be earmarked for Missouri small businesses and universities to assist in the development of grant proposals to federal agencies commonly referred to as "Phase Zero" grants.

#### Animal Health and Nutrition Center

MTC will work in close cooperation with the University of Missouri-Columbia, the University of Missouri-Kansas City, and animal health companies and organizations located in the Kansas City area to establish an animal health and nutrition center in the Kansas City-St. Joseph region, which is considered a global leader in the industry with more than 37 major companies. \$200,000 in funding has been allocated to MTC to provide for the planning of this project and the development of associated research and development programs at partnering universities and companies in the Kansas City-St. Joseph region.

#### Animal Health Workforce Development Initiative

A public-private coalition comprised of Missouri Western State University (MWSU) and leading companies in the St. Joseph area are spearheading an effort to create a GXP regulated training laboratory that will help ensure the region's animal health and nutrition industry continue to have access to a highly skilled workforce. (The term "GXP" refers to Good Manufacturing Practices (GMP), Good Laboratory Practices (GLP), or Good Clinical Practices (GCP).) The laboratory and workforce training facility will be located on the MWSU campus and will offer comprehensive courses in all necessary skill sets in both a classroom and real world environment. MTC will receive \$175,000 to assist in the establishment of this comprehensive workforce training center.

#### MTC Entrepreneur Pipeline Program/Plant and Ag Biotech Seed Capital Co-Investment Fund

LCDI allocated \$3 million for seed capital co-investment and the establishment of an entrepreneurial pipeline. This funding will result in the formation of the Missouri Venture Partners (MVP), a program designed to help fill an investment and expertise void that exists due to a lack of qualified entrepreneurs in Missouri who are familiar with the technology sector.

To spearhead the commercialization of more technologies, MVP will identify new opportunities by directly mining ideas from Missouri research labs. Once a marketable application is recognized, the MVP team will initiate typical business start-up processes such as intellectual property due diligence, market analysis, legal business formation, and institutional licensing. Once the decision is made to launch the business venture, the MVP fund, possibly in syndication with angel investment groups, will finance the final start-up costs and initial business operations. In addition, MVP will, at this time, assist with the formation of the board of directors. Once the technology has been proven, MVP will help identify and recruit a qualified management team, at which point the

venture will be prepared for traditional venture capital financing and will proceed through the traditional technology company start-up processes.

#### Intellectual Property Management Fund

\$1.1 million of LCDI funds has been allocated to MTC for the establishment of an intellectual property management fund to help Missouri start-up companies and universities pursue patent protection for promising new technologies. These funds will help alleviate a significant bottleneck which exists in small company formation due to a lack of financial resources for filing appropriate patent protections. Once more technologies are protected through patents and other legal means, more venture capital and seed funding will flow to Missouri start-ups, stimulating economic growth across the state. The fund will also be available to Missouri Innovation Centers, Missouri Small Business Development Centers, and University technology transfer offices working to license technologies to Missouri-based start-up companies. Up to \$15,000 for the preparation, filing, and prosecution of a patent application will be provided to eligible applicants through the fund.

#### Medical Device Innovation Program

The opportunities for increasing Missouri's expertise in the development of medical device innovations and start up companies related to these discoveries can be found all across Missouri. This exciting field represents a significant opportunity for increasing deal flow and start up companies in Missouri. Part of the focus for this program is targeted toward mentoring student fellows through the process of successfully bringing new patented surgical devices and engineered health care solutions to the health care market. The program will facilitate the production of high-quality, innovative professionals who have the desire and knowledge to continue commercializing new medical technologies. The Medical Device Innovation Program is designed to enhance collaboration between physicians, engineers, and business people in a manner that creates new entrepreneurial opportunities. LCDI included \$350,000 in funds for the field of medical device innovation.

#### St. Louis Information Technology (IT) Initiative

\$1 million in funding has been provided to leverage local dollars invested in ongoing efforts to make St. Louis a national leader in the creation of information technology companies and employment opportunities through the collaborative efforts of the University of Missouri-St. Louis High Performance Computing Center and Innovate St. Louis. This consortium comprised of business, civic, university leaders, and the St. Louis Regional Chamber and Growth Association is working to enhance the region's entrepreneurial environment and spur innovation and entrepreneurship in the IT sector.

#### Opportunity Fund for Bioenergy Research Center

\$3.25 million in funds has been allocated to help enhance Missouri's competitive position when seeking major federal research facilities, such as a U.S Department of Energy Bioenergy Research Center or the U.S. Department of Homeland Security's National Bio and Agro-Defense Facility. These types of major projects are at various stages of consideration and development around the state in the field of agricultural research. They are of a sufficient size and scale such that they would make a large and lasting impact on Missouri's innovation economy for years to come. The Opportunity Fund will provide our state with a competitive advantage when competing for landmark research centers.

### Missouri Open Innovation Network

\$250,000 has been allocated to MTC to implement a knowledge sharing system that: collects innovation-related data from Missouri organizations focused on research and development (R&D); supports Missouri-based collaborations through information sharing; and catalogues intellectual assets for global R&D organizations considering investing R&D dollars in Missouri. This network will result in more grants and contracts won due to teams built using the network, more start-ups and business expansions resulting from investments facilitated by the network, and an increase in licensing activity through use of the system by prospective investors. The primary access point for communication and innovation sharing will be an innovative and user-friendly web-based portal that will be linked to institutions and companies throughout the state.

Funding in this category will also be allocated to create a statewide Missouri Sourcelink website based on the award winning KC Sourcelink program. KC Sourcelink provides a web based portal for start up companies and budding entrepreneurs, connecting them with the appropriate resources available among the public sector service providers designed to assist them. MTC will integrate these new web based resources with a newly redesigned website that displays the best of Missouri's growing high tech research endeavors and start up companies.

### **Research Alliance of Missouri (RAM)**

The Research Alliance of Missouri is constituted as a non-incorporated team of the chief research officers of each of the state's colleges, universities, and non-profit research institutions that expend not less than \$10 million for scientific research on an annual basis. RAM's day-to-day operations are performed by the executive director of MTC who assists the organization in furtherance of its two main goals: increasing the number of multi-university research proposals and awards; and improving collaboration between the research and business communities. The RAM board of directors meets on a regular basis and the organization sponsors numerous research seminars designed to enhance opportunities for research collaborations and Missouri-based technology businesses.

### **The University of Missouri Technology Park at Fort Leonard Wood**

In 1999, MTC advocated for a state investment in a new technology park to be located at Fort Leonard Wood, Missouri's largest and most significant military installation. In response to this request, the Governor and General Assembly appropriated \$2 million to MTC for this purpose. During this critical time, the university matched the state's investment with \$2 million of its own funds and took on the role of managing partner. Thus, a highly successful partnership between MTC, the University of Missouri System, and Fort Leonard Wood was born with MTC retaining a 45 percent interest in the venture and the university owning the remainder.

Today, Building One at the University of Missouri Technology Park at Fort Leonard Wood is fully utilized and is producing a positive cash flow. Because of the proven demand for space to accommodate organizations engaged in strategic partnerships with the military, MTC and the University of Missouri worked together to secure funding to construct a



second building that could meet existing market demand. That building was funded by a loan from the University of Missouri to the partnership. Construction began in the fall of 2004 and the facility opened for business in May of 2005. MTC has agreed to utilize positive cash flow from Building One to retire debt on the second building over a ten-year period. The two buildings are currently fully occupied.

With two buildings at full capacity and having validated the demand for space, the University and MTC are actively working to market the technology park for further development and make full use of the unique enhanced use lease (EUL), the only private technology park located on an active military installation in the United States. With the right private sector partners, the University and MTC will be able to assure the long term development of the tech park, maximizing the positive impact on the state's economy.

### **Strategic Partnership with The Incubation Factory**

MTC has entered into a strategic partnership with The Incubation Factory, a St. Louis-based virtual go-to-market business incubator that works with start-ups to reduce risk, maximize opportunity, and reduce the cycle time from start-up to maturity through a seven-stage process that includes the provision of services such as business model development, capital fundraising, outsourcing of non-core business functions (e.g. accounting, legal), and consulting on core business functions (e.g. account management, operations). The Incubation Factory team members have successfully launched eight companies, three of which have grown at a rate sufficient to earn membership in Inc. Magazine's list of 500 fastest growing private companies in America. Over the last year, MTC has introduced the Incubation Factory team to on the shelf technologies at Missouri research universities and connected them with our entire public sector service provider network including the innovations centers, small business development centers, and technology transfer offices. Early results point to start ups being funded earlier and an increase in deal flow.

### **Support for the Life Sciences Research Trust Fund (LSTF)**

At the invitation of the LSTF board of directors, MTC has assumed responsibility for the administration of the fund. Key responsibilities include drafting the request for proposals (RFPs) for the research and commercialization projects, scientific peer review services, and centers for excellence. While the LSTF board of directors will retain all decision-making authority, MTC will play an important role in ensuring that these dollars are invested wisely by managing the grant-making and follow-up process in a seamless, informative, and organized fashion.

With \$13.4 million appropriated by the General Assembly to be focused on agriculture research, demand on the Life Science Trust Fund has been high with 43 proposals requesting nearly \$35 million. According to state statutes, 80% of the funds allocated by the Life Science Research Board must be focused on research capacity building projects, with the remaining 20% focused on commercialization projects. The legislature requested a report be provided to the Chairs of the House Budget Committee and Senate Appropriations Committee by December 1, 2007 outlining where funds are

being deployed and the research board has been doing everything in its power to meet this aggressive timeline.

### **Technology Commercialization Partnership**

MTC has worked closely with the University of Missouri Extension and the University of Missouri Economic Development office to develop an aggressive and comprehensive approach toward high-tech business growth that is increasing the university's role as an important economic driver and better aligning the public sector service providers assisting start ups in Missouri. Specifically, MTC has focused on working closely with MU Extension to develop a more effective collaboration between the SBDC's, Innovation Centers, technology transfer offices, and Department of Economic Development Industry Specialists.

#### Missouri Innovation Centers

MTC oversees the Missouri Innovation Center program, which is funded through the Missouri Department of Economic Development. An innovation center is a state-sponsored, not-for-profit organization that helps entrepreneurs bring new technologies to the marketplace. The following nine innovation centers are located throughout the state:

<b>CENTER NAME</b>	<b>LOCATION</b>
Center for Emerging Technologies	St. Louis
Missouri Enterprise	Rolla
Missouri Research Corporation	Cape Girardeau
Missouri Innovation Center	Columbia
Newman Business and Technology Innovation Center	Joplin
Springfield Innovation, Inc.	Springfield
Kansas City Innovation Center	Kansas City
Missouri Rural Enterprise and Innovation Center	Kirksville
Warrensburg Innovation Center	Warrensburg

#### Small Business Development Centers (SBDCs)

SBDCs offer comprehensive and individualized business management counseling to small business owners and entrepreneurs. The centers have a staff of skilled "counselors" with experience in areas that are highly important to new entrepreneurs such as marketing, sales, accounting, financial analysis, cost control systems, and personnel management. The SBDC program also offers the Missouri Small Business Technology Development Centers (MO SBTDC), which encourages and enhances technology research and development, technology transfer, and technology deployment.

#### Technology Transfer Offices

Technology Transfer Offices for public and private universities are important partners in the development of start up companies and increasing deal flow. The better universities are at efficiently handling their intellectual property, then the quicker researchers and start up companies can take their innovations and discoveries to market. MTC is very supportive of recent efforts to change the technology transfer policies at the University of Missouri system which allows for each campus to control its own intellectual property

decisions with as little interference possible from the office of general counsel. The change in measuring success by the number of new start ups rather than strictly licensing income is having a dramatic impact on early stage deal flow with more start ups being created.

Missouri Department of Economic Development (DED) Industry Specialists

DED has recently hired eight industry sector specialists whose primary function is to advise the department's director and business retention and recruitment staff on various industry-related matters. Four of the industry sectors identified as part of this effort are technology related – life sciences, defense-homeland security, energy, and information technology. While these individuals serve as informal advisors to MTC, MTC's executive director also serves on their respective advisory boards. This symbiotic relationship is representative of MTC's collaborative approach toward economic development.

## APPENDIX A:

### MTC 2007 Meeting Schedule

During 2007, the Board of the MTC held numerous meetings in order to fulfill its obligations and the expectations of DED and other policymaker partners.

The meeting schedule was as follows:

- June 13, 2007                      Jefferson City
- September 7, 2007                Teleconference
- October 29, 2007                 St. Louis

MTC Executive Committee (chaired by Mr. Donn Rubin):

- May 2, 2007                         Teleconference
- July 9, 2007                         Teleconference
- September 28, 2007                St. Louis
- October 5, 2007                     St. Louis
- October 11, 2007                  Teleconference

MTC Innovation Center Committee (chaired by Dr. Bob Calcaterra):

- February 20, 2007                 Columbia
- May 31, 2007                        Teleconference

## APPENDIX B:

### Missouri Technology Corporation Board of Directors and Staff:

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*\* The Fort Leonard Wood Garrison Commander and two RAM members were-elected by the members to serve in an ex-officio capacity.*

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**APPENDIX C:****MISSOURI TECHNOLOGY CORPORATION****Balance Sheet**

As of September 30, 2007

	<u>Total</u>
<b>ASSETS</b>	
<b>Current Assets</b>	
<b>Bank Accounts</b>	
Central Bank Checking	62,884.31
<b>Total Bank Accounts</b>	<u>\$62,884.31</u>
<b>Total Current Assets</b>	<u>\$62,884.31</u>
<b>Fixed Assets</b>	
Office Equipment	12,252.58
Accumulated Depreciation	-7,050.49
<b>Total Office Equipment</b>	<u>\$5,202.09</u>
<b>Total Fixed Assets</b>	<u>\$5,202.09</u>
<b>Other Assets</b>	
Investment in UM/FLW Technology	1,493,622.00
Rent Deposit	0.00
<b>Total Other Assets</b>	<u>\$ 1,493,622.00</u>
<b>TOTAL ASSETS</b>	<u>\$ 1,561,708.40</u>
<b>LIABILITIES AND EQUITY</b>	
<b>Liabilities</b>	
<b>Current Liabilities</b>	
<b>Accounts Payable</b>	
Accounts Payable	0.00
<b>Total Accounts Payable</b>	<u>\$ 0.00</u>
<b>Other Current Liabilities</b>	
Central Bank Note	0.00
Payroll Liabilities	0.00
<b>Total Other Current Liabilities</b>	<u>\$ 0.00</u>
<b>Total Current Liabilities</b>	<u>\$ 0.00</u>
<b>Total Liabilities</b>	<u>\$ 0.00</u>
<b>Equity</b>	
Opening Bal Equity	1,656,630.80
Net Income	-94,922.40
<b>Total Equity</b>	<u>\$ 1,561,708.40</u>
<b>TOTAL LIABILITIES AND EQUITY</b>	<u>\$ 1,561,708.40</u>

Friday, October 12, 2007 – Cash Basis

**MISSOURI TECHNOLOGY CORPORATION**  
**Income and Expenses**  
October 2006 through September 2007

	Total	
<b>Income</b>		
Miscellaneous Income		723.53
<b>Total Income</b>	<b>\$</b>	<b>723.53</b>
<b>Expenses</b>		
Conference - Expense		495.00
Depreciation Expense		2,624.39
Dues and Subscriptions		1,000.00
Fees		64.00
Meetings		521.50
Office Supplies		689.12
Payroll Expenses		
Wages		61,430.30
<b>Total Payroll Expenses</b>	<b>\$</b>	<b>61,430.30</b>
Postage and Delivery		89.90
Professional Fees		
Accounting		8,871.45
<b>Total Professional Fees</b>	<b>\$</b>	<b>8,871.45</b>
Program Expense/ Sponsorships		14,992.64
Supplies		64.77
Telephone		3,105.82
Travel/Mileage		1,049.60
Travel Expenses		3,838.52
<b>Total Travel Expenses</b>		<b>4,888.12</b>
<b>Total Expenses</b>	<b>\$</b>	<b>98,837.01</b>
<b>Net Operating Income</b>	<b>\$</b>	<b>- 98,113.48</b>
<b>Other Income</b>		
Interest Income		3,191.08
<b>Total Other Income</b>	<b>\$</b>	<b>3,191.08</b>
<b>Net Other Income</b>	<b>\$</b>	<b>3,191.08</b>
<b>Net Income</b>	<b>\$</b>	<b>- 94,922.40</b>

Friday, October 12, 2007 – Cash Basis

Missouri Technology Corporation

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