

Caltech/MIT Enterprise Forum
February 7, 2009

**Neurons on the Run:
Brain, Brawn and Algorithms**

SPEAKERS

Dr. Joseph Schulman

President Emeritus

Alfred Mann Foundation

www.aemf.org

Dr. Schulman is the President Emeritus of the Alfred Mann Foundation. The Foundation is a non-profit research organization devoted to the development of advanced medical products in a variety of fields. Prior to joining the Foundation, Dr. Schulman served as Vice President of Research and Development and Chief Scientist for Pacesetter Systems, Inc., Vice President of Advanced Research and Chief Scientist for MiniMed, Inc., and President of Neurodyne Corporation. In addition to his business activities, Dr. Schulman has contributed significantly to technical advances in medical technology. Dr. Schulman developed or initiated development of many leading edge medical products including the first reliable, rechargeable cardiac pacemaker with bi-directional telemetry.

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Richard Alcott

President

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A seasoned, iconic communication and marketing executive who brings advertising and entrepreneurial success demonstrating strategic focus in an increasingly diffused technology and communication marketplace. Richard gained national prominence as a media and communication executive. Today, Richard represents the lead investor position in Tinnitus Otosound Products, LLC through Future Vision Group, LLC. He has been active in four start-up companies and has taken lead roles in securing Angel and VC funding.

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Hannah Dvorak-Carbone

Licensing Associate

Caltech Office of Technology Transfer

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Hannah Dvorak-Carbone is a Licensing Associate with the Office of Technology Transfer (OTT) at Caltech, and a registered US Patent Agent. Her responsibilities at OTT include reviewing invention disclosures from Caltech researchers; making patent filing decisions and overseeing ongoing patent prosecution; and negotiating options, licenses, and other agreements related to Caltech intellectual property. Prior to joining OTT, Hannah spent several years as a management consultant with the Toronto office of McKinsey & Company.

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Russell M. Frandsen, Esq.

Attorney at Law

The Business Legal Group

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An alumnus of the Duke University Law School, Mr. Frandsen has 32 years experience in practicing business law with major international law firms and in serving as outside general counsel to middle market companies. Russell has developed a diverse range of experience, particularly in corporate finance and securities, corporate transactions, gift certificates and gift cards, technology and venture capital, real estate, and taxation.

An expert in high technology companies, entrepreneurial businesses and venture capital investing, Russell has handled numerous technology start-up firms, mergers and acquisitions, federal and state securities law issues, including public and private securities offerings, intellectual property licensing and technology transfers, technology joint ventures, securing and protecting trade secrets and intellectual property and related general business problems. Mr. Frandsen serves as outside general counsel to a number of clients in the high technology field.

Drawing on his technological experience, Mr. Frandsen pioneered the way for Internet securities offering. He obtained the IPONET No Action letter, dated July 26, 1996, setting forth the guidelines for securities offerings on the Internet. Another accomplishment was obtaining the definitive opinion of the California Commissioner of Corporations interpreting Corporate Securities Act of 1968, as amended, section 25102(n), including offerings on the Internet. Mr. Frandsen has participated as speaker and panelist at a number of national and local seminars and conferences.

The range of clients served by Mr. Frandsen includes individuals and companies involved in such diverse technological and non-technological activities as biotech and pharmaceutical development; various medical devices; uranium enrichment through laser diffusion technology; industrial acoustic imaging; document imaging, storage, and retrieval through systems integration and proprietary software development; electronically controlled and metered fuel injection systems for internal combustion engines; web site software; optical filters; multiplexing and demultiplexing telecommunications devices; genetic diagnostic tools; domestic and foreign

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technology licensing agreements; industrial equipment manufacturers; restaurants; quick-service restaurant chains; national retailers; entertainment companies; gift card companies, broker-dealers; underwriters; investment companies; and hedge funds.

Mr. Frandsen serves on the Executive Committee of the Caltech/MIT Enterprise Forum (Executive Committee, Chair 1998-2000; 2003-2007). He served on the Board of Directors of the Rotary Club of Los Angeles (LA 5), of the Association for Corporate Growth in Los Angeles and as Vice Chair of the Los Angeles County Private Industry Council. In June 2007, Mr. Frandsen founded his own law firm, The Business Legal Group, where he brings all of the expertise gained in the large firm environment to his practice.

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Lilly S. Kim

Counsel

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Lilly has extensive experience in a range of corporate and securities matters, including mergers and acquisitions, public and private equity offerings, securities regulation, venture capital financing, joint ventures, licensing arrangements and general corporate matters. Her clients include companies in various fields, including technology, health care, food and apparel.

Among the transactions Lilly has worked on during the past few years are numerous acquisitions and mergers, including purchases and sales of businesses or assets for cash and securities, and initial and secondary public offerings. She has represented corporations, partnerships, and limited liability companies in all phases of business organization, corporate and financial transactions, and day-to-day operations.

Additionally, Lilly has been named a "Southern California Rising Star", published by *Los Angeles Magazine* from 2005-2008. Her publications include: "SEC Summaries Position on PIPES Transactions", *Reed Smith Client Alert*, February 1, 2007; and "Backing Out", *Daily Journal*, March 4, 2008.

Lilly received her J.D. from Loyola Law School, Order of the Coif, and counts among her professional affiliations the following: City of South Pasadena Animal Commission – Commissioner; Korean American Coalition - Member, Board of Directors; State Bar of California – Member; and Executive Committee - Caltech/MIT Enterprise Forum.

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Julia A. Kornfield

Professor of Chemical Engineering

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Dr. Kornfield specializes in discovering chemical and mechanical changes that occur in biological material with the ultimate goal of using such understanding to develop methods that will delay, stop, or even reverse degenerative processes.

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Rogelio Nochebuena

President

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Nochebuena R&D is a consulting organization based in Pasadena that assists small companies as well as large enterprises to solve problems in a cost-effective way in the fields of lasers and nanotechnology. Mr. Nochebuena has more than 20 years of experience in high technology. He has worked in Fortune 100 companies as well as start-ups. Some of the companies that he has worked for include Agilent Technologies, Xerox Corp., and Carl Zeiss where he served in senior technical and marketing positions. His consulting practice includes clients such as Lawrence Livermore National Labs, Intelligent Optical Systems as well as tier one universities.

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Dr. Kevin J. Scanlon

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Currently, Kevin J. Scanlon is using his academic and business experience to mentor creative scientific ideas with good business practices to generate novel medical products. Entrepreneurs are supported with a strong management team and venture capital to make the successful transition from concept into a productive enterprise.

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Erik Viirre, M.D., Ph.D.

Chairman

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Dr. Viirre is an Assistant Adjunct Professor in the Division of Otolaryngology of the University of California San Diego School of Medicine, a Research Assistant Professor in the UCSD Department of Cognitive Science, as well as a practicing neurotologist. He is a scientific co-founder of TOP and has extensive research and clinical experience in the arena of hearing disorders. His clinical specialties are in the diagnosis and treatment of vertigo, motion sickness and balance problems as well as tinnitus.

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Stephen H. Watkins

Managing Director

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Stephen Watkins is a founding partner of Arcturus Capital, an early stage venture capital firm focused on Southern California companies. Arcturus has \$32MM under management and currently has a portfolio of fourteen companies. Mr. Watkins is currently Chairman of Ondax, Inc., a Board Member of Chimeros and ProLacta Biosciences, and a board observer at SupplyFrame and Digital Performance, Inc.

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