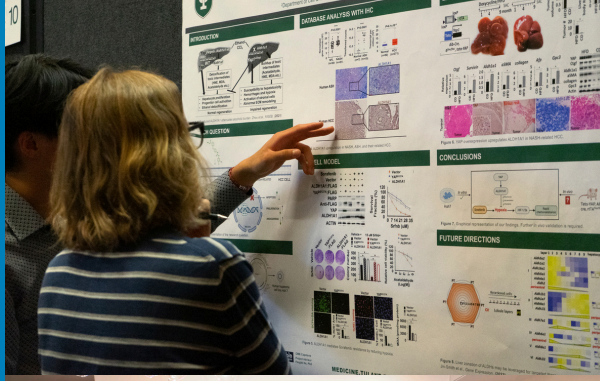
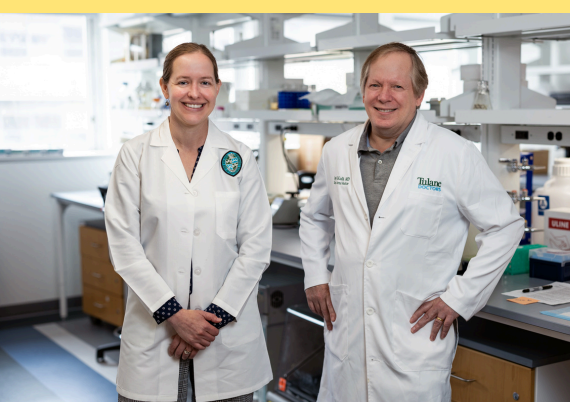


Startup Guide



A **step-by-step guide** to develop your invention or technology



for Tulane University
Innovators

**TULANE
INNOVATION
INSTITUTE**

TULANE UNIVERSITY INNOVATION

E2E COMMERCIALIZATION ROADMAP

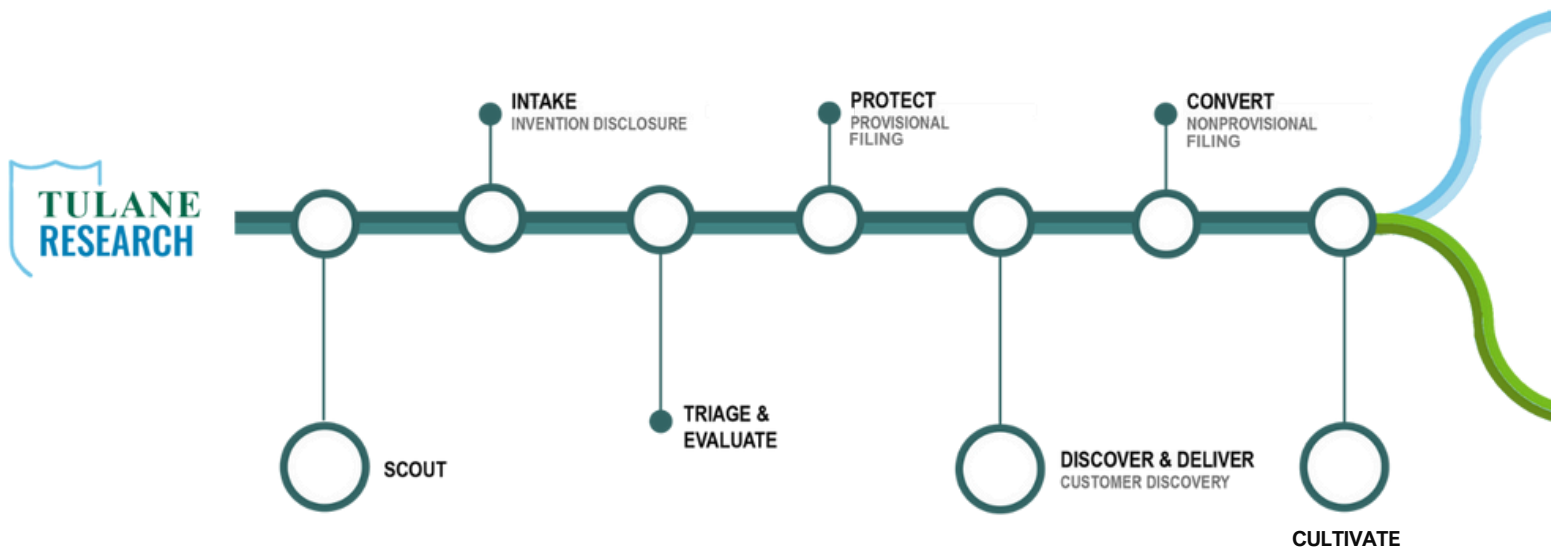
At universities, innovation to impact involves commercialization.

Commercialization isn't just about collecting patents. It's about transforming ideas into companies and inventions into market-ready products. This involves licensing university-owned intellectual property to external entities, including startups or established companies, who bring the technology to life to benefit society and the university community. The Tulane University Innovation Institute (TUII) End-To-End Commercialization Process helps usher Tulane inventors through the process of ideation to licensed technology.

KEY DEFINITIONS

Spinout | A startup that commercializes intellectual property licensed or optioned from Tulane.

Startup | A new business venture created to develop and market an innovative product, service, or solution, which may or may not involve Tulane IP.



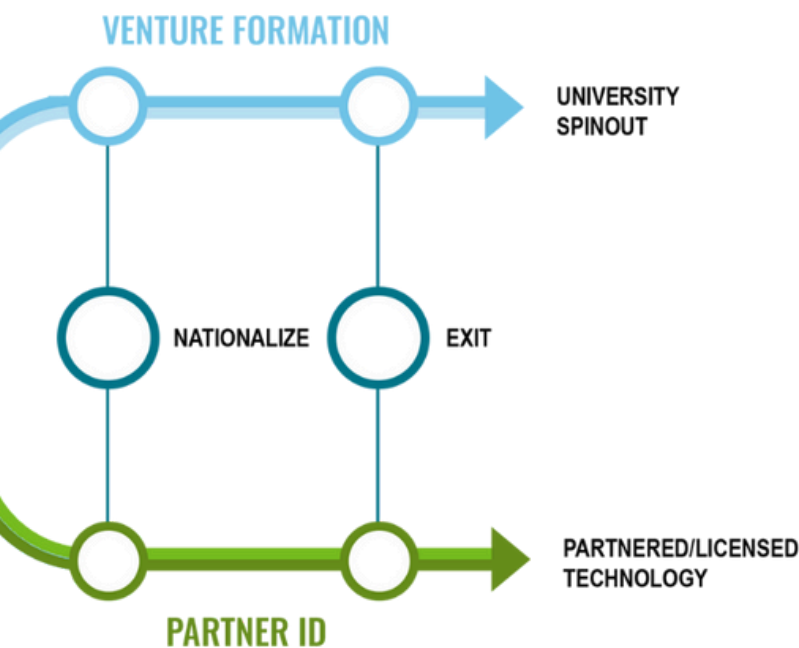
ABOUT OUR PROCESS

Establishing a transparent, principled, data-driven process to advance technologies was one of the Institute's first strategic priorities. This comprehensive process was developed as a first draft leveraging the internal expertise of the Institute and Office of Intellectual Property Management (OIPM), drawing on more than four decades of collective scientific, legal, and innovation expertise. Following initial development, TUII solicited feedback through targeted outreach by inviting the Tulane Community to open comment sessions and a showcase with Tulane academic leadership (all Deans and Deans of Research, advertised through the Office of the Provost). Feedback was also solicited from the Faculty Innovation Council, representing all 9 Tulane schools, and Faculty Innovation Ambassadors. The expert stakeholder and user input was incorporated into the final process, as presented in this guide.

INSTITUTE PROCESS

The ten sections outlined in the process can be summarized into four areas of focus:

RESEARCH, ASSESS, DEVELOP, LAUNCH



Visit innovation.tulane.edu to participate in programs that will successfully guide you in your journey!

RESEARCH (Scout)

During this first stage, promising pre-disclosure ideas and discoveries, many of which are at the proposal stage, are reviewed informally by TUII to gain an understanding of faculty/student work that may be translated into new products and services. Faculty are encouraged to engage with TUII early on about commercial viability.

ASSESS (Intake, Triage, Evaluate)

The formal technology intake process usually begins with an invention or disclosure. TUII will seek internal and external feedback on disclosed inventions, generally after the initial filing. This involves "black boxing" the idea of an innovation that has not yet been protected, and identifying potential partners and licensees.

Inventors will receive deeper feedback on disclosed inventions, informing the next steps. This process should take 8-12 weeks to complete.

DEVELOP (Protect, Discover & Deliver, Convert)

The Office of Intellectual Property Management (OIPM) will protect technology for a provisional period. At the same time, the commercialization team will incorporate customer discovery inputs into the invention and guide de-risking technical aspects of the technology. The TUII team will consult with inventors and determine the technology's most appropriate development and strategy.

LAUNCH (Cultivate, Nationalize, Exit)

The TUII team will seek to identify potential external partners for technology development. When appropriate, the TUII team will provide resources for forming a startup company. The product or service will launch according to the exit strategy defined in previous steps.

For market assessment, commercial viability, and startup formation questions, please contact Clay Christian, Ph.D., Executive Director, Commercialization, at christian@tulane.edu. For company engagement or outreach assistance, please contact John Scott, Ph.D., Associate Director of OIPM, at jscott37@tulane.edu. For patentability assessments and specific invention management questions, please contact John Scott, Ph.D. (Uptown) or Samuel Jativa, JD at sjativa@tulane.edu (Downtown and Primate Center). For licensing questions, please contact Matt Koenig, JD, CLP, Executive Director, OIPM, at mkoenig@tulane.edu.

TULANE QUICK GUIDE & INVENTOR CHECKLIST

- Disclose your technology to OIPM and make the first Intellectual property (IP) filings.
- Validate technology and market through the I-Corps/Lean Startup program.
- Attend our Intellectual property (IP) Webinars.
- Find a startup mentor at Tulane Innovation Institute and consider the Startup Team Mentor program.
- Contact the Tulane Innovation Institute team to discuss your desire to launch a startup or license technology from Tulane.
- Complete a conflict of interest disclosure per Tulane guidelines (counsel.tulane.edu/conflict-interest-policies).
- Identify your team to manage the startup.
- Form a board of advisors with business expertise.
- Negotiate ownership and document it in a capitalization table.
- Develop a technology development timeline/plan.
- Incorporate the company using Tulane Innovation Institute resources.
- Secure funding from founding investors to cover initial company expenses.
- Consider/ Apply for non-dilutive funding sources: SBIR/STTR, Provost's Proof of Concept Fund, Accelerator(s).

STARTUP CHECKLIST

- Create a pitch deck and business plan.
- Consult with legal counsel or engage a representative outside of the university who can negotiate and complete a license agreement with Tulane concerning the technology of interest.
REMINDER: Tulane faculty and staff may not represent a spinout (or any other company) in the negotiation of a license from OIPM.
- Identify accounting support.
- Develop branding (name, URL, logo).
- Obtain insurance for the company.
- Secure early-stage funding (non-dilutive or investment).
- Visit innovation.tulane.edu to get started.



Scan to learn more about
Tulane Innovation
Institute Programs

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From Tulane’s Startup Guide for Tulane Inventors | Published by the Tulane Innovation Institute

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INTRODUCTION

ADVANCING YOUR RESEARCH JOURNEY AT TULANE UNIVERSITY INNOVATION INSTITUTE

As an inventor, **you've sparked a flame with your groundbreaking discovery.**

Is it time to make your groundbreaking discovery a reality by becoming a startup? The best news is that you don't have to walk this path alone. The Tulane University Innovation Institute (TUll) is a dedicated resource, ready to guide and support you every step of the way. TUll understands the unique challenges inventors face when navigating the entrepreneurial landscape. We offer comprehensive resources and expertise to help you turn your invention into a thriving company. Ask yourself if you need assistance in:



TUll provides much more than just resources. We offer comprehensive resources and expertise to help you launch a startup and turn it into a thriving company. We believe in your vision and are committed to empowering you to achieve your goals.

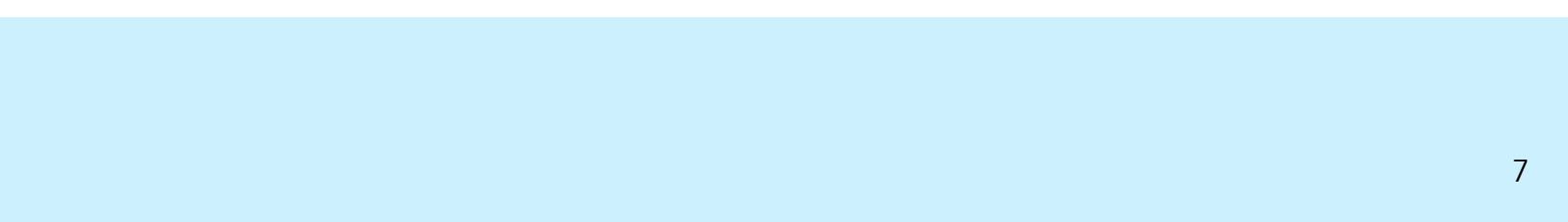
HOW WE CAN HELP

- 1 Startup Team Mentoring** Connect with experienced industry experts via the Green Wave Innovation Network (GWIN), who will offer practical advice and guidance.
- 2 Commercialization Process** Work with our dedicated team to assess an invention, protect intellectual property, and develop a market strategy.
- 3 Funding Resources** Access seed funding opportunities and connect with potential investors.
- 4 Networking Events** Attend workshops, seminars, and conferences to connect with other entrepreneurs and build valuable relationships to advance your startup.



Don't wait to start your journey!

Visit us at innovation.tulane.edu today to explore the resources available and connect with our team. Together, we can turn your brilliant invention into a successful company and positively impact the world.



IDEA DEVELOPMENT & IP PROTECTION

The journey of an invention from conception to commercialization is complex, requiring careful navigation. As an inventor, you play a pivotal role in this process. Understanding the intricacies of public disclosure, intellectual property protection, and timely partner engagement is essential to maximizing the value of your innovation.

Invention Disclosure | Taking A Critical First Step

An invention disclosure serves as the official notification of an invention to the Office of Intellectual Property Management (OIPM). It involves a detailed invention description, including its technical aspects, novelty, and potential applications. Inventors should submit disclosures promptly, ideally before any public disclosure, to preserve potential patent rights. OIPM and TUII will review disclosures dealing with patentable inventions, copyrights, software, tangible property, trade secret/know-how information, and more. While the process can be time-intensive, we won't inhibit your ability to publish or disclose your idea once we file for intellectual property protection. OIPM reviews the disclosure and assesses the feasibility of pursuing intellectual property (IP) protection, while TUII can assess all inventions for commercial potential.

Make confidential disclosures at tulane.wellspringsoftware.net

Types of Intellectual Property Protection

Copyright

What it protects | Original creative expressions fixed in a tangible medium, including literary works, music, art, software code, films, and more.

Exclusive rights | Owners have the right to reproduce, distribute, perform, display, and create derivative works. They also have moral rights to be credited and prevent others from distorting their work.

Duration | Generally lasts for the author's life plus 70 years after death.

Automatic protection | Copyright arises automatically upon creation, but registration strengthens protection and provides legal remedies. Registered and unregistered copyright works can use the copyright symbol ©, but it carries a different weight. For unregistered works, it serves as a mere notice of claim, while for registered works, it becomes legal evidence of ownership and strengthens enforcement options.

Limitations | "Fair use" allows limited copying for criticism, commentary, and education purposes.



Patent

What it protects | New, useful, and non-obvious inventions, processes, or designs.

Exclusive rights | Owners have the right to exclude others from making, using, selling, offering for sale, or importing their invention for a limited period (usually 20 years for utility patents).

Application process | Complex and time-consuming, requiring detailed descriptions, claims, and fees.

Examination | Applications undergo a thorough review by the Patent Office, including public search and opposition.

Requirements | Invention must be novel, inventive (not obvious), and useful (have practical application).

Costs | Filing and maintenance fees can be significant.

Alternatives | Trade secrets can protect confidential information that does not meet patent requirements.



Trademark

What it protects | Distinctive words, symbols, designs, or sounds that identify the source of goods or services. Examples include brand names, logos, slogans, and product packaging.

Exclusive rights | Owners have the right to prevent others from using confusingly similar marks that could mislead consumers.

Registration | Not mandatory but highly recommended for stronger protection and enforcement options. While both "TM" (unregistered) and "®" (registered) symbols notify others of a trademark claim, only the ® symbol signifies official registration with a government agency, offering stronger legal protection and potential for wider enforcement.

Duration | Trademarks can be renewed indefinitely as long as they are used in commerce.

Requirements | Mark must be distinctive, not descriptive or generic, and not already in use by others for similar goods or services.



Trade Secret

What it protects | Confidential information that gives a business a competitive advantage, such as formulas, recipes, processes, customer lists, and marketing strategies.

Protection | No formal registration, but protection relies on maintaining secrecy and taking reasonable measures to prevent disclosure.

Duration | Protection lasts as long as the information remains secret.

Enforcement | Requires legal action to prove misappropriation and damage caused.

Limitations | Difficult to enforce if information becomes public or is independently developed by others.



Trademarks and trade secrets offer different types of protection.

Trademarks protect specific identifiers, while trade secrets protect confidential information.

Copyright, trademark, and patent protection are territorial.

This means protection only applies in specific jurisdictions and countries.

Software inventions can be protected through a combination of legal mechanisms.

Copyright protection can protect source code, user interface elements, and documentation. Patent protection can protect new, useful, and non-obvious functionalities or technical innovations. Trademark protection can protect software's brand identity, including names, logos, icons, and slogans. Confidential information not covered by other forms of protection, such as algorithms, source code portions, and internal documentation, can be protected as trade secret information or know-how.

The best protection strategy often combines multiple protection mechanisms.

Depending on the specific product characteristics and desired level of protection. An optimal protection strategy frequently involves a combination of multiple mechanisms tailored to the specific characteristics of the product and the desired level of protection.

Consult an intellectual property lawyer outside of the university.

To navigate legal complexities and choose the optimal protection strategy for your product.

Non-disclosure agreements (NDAs) and licenses can further protect confidential information and usage rights.

IDEA DEVELOPMENT & IP PROTECTION

Patent Protection | Time Sensitive Protection Guidelines

Public Disclosure | A Potential Pitfall

Premature public disclosure of an invention can negatively impact its patentability. Activities that constitute public disclosure include presentations, publications, demonstrations, and even casual discussions outside of confidential settings. Therefore, inventors must be vigilant about safeguarding their inventions until a patent application is filed. OIPM can provide guidance on navigating this critical aspect and ensure that public disclosure does not jeopardize patent rights. It's highly recommended that you are proactive with invention disclosures because they protect you and your ideas.

Patentability Assessment | Weighing the Odds

After an invention disclosure is submitted, OIPM conducts an initial patentability assessment. This evaluation involves examining the invention, its novelty, and non-obviousness against known prior art, including patents and published patent applications. The initial assessment helps determine whether the invention will likely meet the legal requirements for patentability. The OIPM team then communicates the results to the inventor and determines the most appropriate course of action.

First-to-File System | A Race to the Finish

The United States operates under a "first-to-file" system, meaning the first inventor to file a patent application for a particular invention is usually granted the patent, regardless of who conceived the idea first. This system incentivizes inventors to disclose their innovations and file patent applications promptly.

Market Potential Evaluation | Assessing Commercial Viability

Beyond patentability, an invention's market potential is crucial for determining its commercial viability. TUll evaluates the market landscape, including existing solutions, potential competitors, target customers, and market size. This information helps to determine whether the invention has the potential to generate significant revenue and return on investment.



The Patent Journey | From Conception to Issuance

The path to securing a patent in the United States is complex and fraught with procedural nuances, strategic considerations, and significant investment. For inventors and technology transfer offices, navigating this process requires a clear understanding of four key stages involved:

1

Provisional Filing

At Tulane, the initial step toward patent protection is filing a provisional patent application. This document serves as a placeholder, outlining the invention's core concepts and establishing a priority date for the disclosed concepts. Unlike a non-provisional application, a provisional does not require extensive details or claims, offering inventors and tech transfer offices a cost-effective and flexible option to hold their place while further developing their invention. It is important to note that while a provisional does not have as many rigid requirements as a non-provisional, the best strategy is to disclose the inventive concept fully and put a robust filing on file as soon as reasonably practicable.

2

Non-Provisional Filing

To formally pursue patent protection, a non-provisional application must be submitted within 12 months of the provisional filing date. This document delves into greater detail, including comprehensive descriptions, drawings, and clearly defined claims that precisely define the invention's scope. Legal fees are significantly higher than those associated with provisional applications.

3

Patent Prosecution

Once a non-provisional application is filed, the patent office assigns it to an examiner who reviews it for patentability. This stage can be lengthy and require extensive back-and-forth communication between the patent office and the applicant, requiring an applicant to address objections and refine the claims. It's crucial to note that while claims can be amended if supported by the application, adding new matter to the application after filing is not permitted, making the initial application's accuracy and completeness critical.

4

Patent Issuance

If the examiner believes the application satisfies all applicable legal requirements, the patent office issues a Notice of Allowance, marking the final hurdle before the patent grant. This process can take several years. Therefore, universities typically seek to partner with industry licensees early in the filing process. This allows licensees to assume the prosecution costs and potentially influence the claim scope to better align with their commercialization plans. A license can be to an established company or a startup.

Foreign and regional filings add a layer of complexity and increased cost to the patent process. Universities often prioritize securing protection in key markets aligned with the invention's potential and partner with international patent firms to navigate each jurisdiction's specific filing requirements and legal nuances.

Ultimately, if successful, the patent process culminates in the issuance of a patent, granting the inventor exclusive rights to their invention for a limited period. The issued patent can serve as a critical intellectual property (IP) asset, enabling universities to generate licensing revenue, attract industry partnerships, and drive the commercialization of innovative technologies that benefit society.

IDEA DEVELOPMENT & IP PROTECTION

Additional Considerations | Beyond the Basics

In addition to the core aspects mentioned previously, several other points are crucial for effective commercialization, including:

Using Non-Monetary Agreements as Early Partnering and Engagement Tools

Non-Disclosure Agreements (NDAs)

In the fast-paced world of innovation, inventors often find themselves in a race against time. Balancing the need to protect their invention with the desire to explore its commercial potential can be a delicate act. This is where non-disclosure agreements (NDAs) emerge as powerful tools. By requiring potential partners, investors, or collaborators to sign an NDA, inventors can help ensure confidentiality for their invention while exploring its market viability. This crucial window of time allows inventors to conduct market research, develop prototypes, and refine their ideas before publicly disclosing their inventions. In essence, NDAs can buy inventors valuable time to strategize and build a strong foundation for their intellectual property, ultimately increasing their chances of securing patent protection and successfully navigating the path to commercialization.

Material Transfer Agreements (MTAs)

In collaborative research, sharing valuable materials and know-how is often essential for achieving groundbreaking results. However, the very act of sharing can introduce uncertainty and potential risks. This is where Material Transfer Agreements (MTAs) come into play, acting as the guardians of innovation's building blocks. MTAs establish clear boundaries for using and disseminating research materials, ensuring that both parties retain ownership and control over their respective intellectual property. By outlining the terms of material transfer, including restrictions on use, distribution, and future inventions derived from the shared material, MTAs prevent unintended consequences and safeguard the value of each party's contribution. This creates a framework for collaboration that fosters trust, protects intellectual property rights, and ultimately paves the way for the successful development and commercialization of inventions.

Request an NDA or MTA at tulane.wellspringsoftware.net

Collaboration Agreements

Hybrid collaboration agreements, incorporating elements of MTAs and NDAs, provide a powerful tool for early-stage partnerships. These agreements define, among other things, roles, responsibilities, material transfer terms, confidentiality clauses, publication timing, and IP ownership, fostering transparency, building trust, and safeguarding intellectual property.

By addressing these critical points, such agreements pave the way for open communication, collaboration, and innovation, increasing the chances of a successful and mutually beneficial partnership.

BUILDING INDUSTRY PARTNERSHIPS AND COLLABORATIONS

Industry Engagement and Outreach

Collaboration

Innovation is a team sport. As the complexities of modern technology continue to grow, the need for collaboration between academia and industry becomes increasingly crucial. By actively engaging in outreach efforts, TUII can bridge the gap between inventors and industry partners, unlocking the potential for groundbreaking solutions.

External Expertise

Through targeted outreach programs and the development of strong industry relationships, TUII can connect inventors with collaborators who possess the resources, expertise, and market reach necessary to translate innovative ideas into tangible products and services. This collaborative approach fosters a vibrant innovation ecosystem, accelerating the development cycle and ultimately driving progress across diverse fields.



By understanding these key concepts and options, inventors can play a vital role in transforming their innovative ideas into tangible products and services that benefit society. The journey of invention is complex, but by strategically navigating it together, we can unlock the potential of groundbreaking innovations.

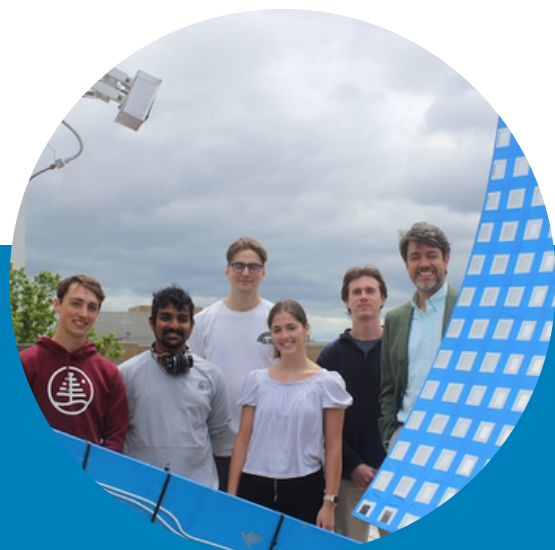


Sponsorship Agreements drive Technological Innovation

Corporate Sponsored Research

While federal grants remain crucial for research and development, sponsorship agreements offer an additional, often overlooked, avenue for advancing technological innovation. These agreements, established between private companies and research institutions, provide researchers with vital funding and resources to pursue their work. This helps bridge the gap between fundamental research and practical applications and fosters collaboration between industry and academia, leading to the development of commercially viable technologies that benefit society.

Sponsorship agreements offer several advantages over traditional grant funding. They can be more flexible, allowing quicker adaptation to changing market demands and technological advancements. Additionally, they often provide access to industry expertise and resources not readily available through grants, accelerating the translation of research into real-world solutions. This collaborative approach also fosters a culture of innovation, where researchers and industry professionals work together to identify and address pressing technological challenges. For additional Sponsored Projects Administration inquiries, please contact: elecnotf@tulane.edu



INTELLECTUAL PROPERTY INCOME DISTRIBUTION

Net income proceeds from the commercialization of Tulane IP are distributed to stakeholders in accordance with Tulane's IP Policy.

Inventors

Receive a share of net income based on their contribution to the development of the technology.

Schools, Labs, and Departments

Receive a share of net income based on their support for the research.

Office of Research/OIPM/TUII

Receives an administrative share of gross revenue to cover costs related to technology licensing and intellectual property management.

Gross Income Breakdown

- 1) Direct expenditures to protect or exploit the intellectual property are deducted from gross income proceeds.
- 2) After deducting the direct expenditures, 15% of the remaining gross proceeds from the intellectual property are deducted as an administrative fee to support TUII/OIPM.
- 3) The remaining amount, after deducting direct expenditures and administrative fees, is distributed as follows:
 - 50% to Inventors
 - 50% to the University (with further distributions to schools, departments, and investigator research accounts subject to the IP Policy and/or agreements)

How is net income distributed?

Upfront payments, option fees, equity holdings, milestones, annual license fees, and royalties are distributed according to Tulane University's IP policy.

Multiple inventors or inventions

Inventors agree on their percentage contributions, documented in a Revenue Sharing Agreement (RSA). Revenue is then allocated accordingly.

Startup Equity

The University holds equity until an exit event and then distributes proceeds according to the IP policy. Ownership interest in a startup does not impact your share of university proceeds.

Tax implications

- Inventors are responsible for taxes on their shares and receive a Form 1099-MISC annually.
- Consult a tax advisor for specific advice.

Disclaiming or changing your inventor share

- Contact OIPM to learn how to adjust your standard share.

Administration fee

- Covers costs of technology licensing and IP management, including:
 - Agreement marketing/negotiations and monitoring license agreement
 - Post-contract compliance
 - Support of the Tulane Innovation Institute and the Office of Intellectual Property Management
 - Administration of Tulane Innovation Institute Provost's Proof of Concept Seed Fund

For more information

- Refer to Section 9 of the [Tulane IP Policy](#).



PITCHING YOUR IDEA

Presenting your idea to investors is crucial for startup success. Be prepared and clear about your goals. Informational meetings are acceptable, but meticulous preparation is essential when seeking funding requests.



Problem & Solution

- Clearly define the problem your technology addresses.
- Explain how your technology provides a unique and valuable solution.

Market & Competition

- Identify the target market, addressable market size, and target customers.
- Do not inflate data; focus on specific segments if applicable.
- Analyze the competition and highlight your competitive advantage.

Team & Business Model

- Introduce your executive team and their roles. Include a scientific advisory board if applicable.
- Explain your business model, sales strategy, and pricing.
- Project your expenses and revenues for a five-year period.

Investment Request & Milestones

- Specify the requested funding amount, its duration, and its intended use.
- Outline key company milestones for investors to track progress.
- Describe how you will mitigate risks if you don't make your milestones.

Presentation & Story

- Craft a compelling and engaging presentation that tells a story.
- Use examples to illustrate your points and showcase potential customer feedback.

By following these guidelines and tailoring your pitch to your specific company and investors, you can confidently present your Tulane startup and capture their interest. Remember, a well-prepared and engaging presentation is key to securing the funding you need to build a successful venture.



Visit innovation.tulane.edu/programs to learn more about our pitch events!



Meet with our Green Wave Innovation Network mentors & get started practicing today!
innovation.tulane.edu/gwin

CONFLICTS OF INTEREST

What is a conflict of interest (COI)?

When faculty engage in commercialization activities, it can create financial interests and time commitments that may lead to potential or perceived conflicts of interest. For example, a personal interest (e.g., financial gain) could influence professional judgment or other actions.

Why is addressing COIs important?

At Tulane, we have a university-wide COI committee composed of faculty and staff who review potential conflicts of interest and determine appropriate management plans. The COI process promotes ethical conduct and protects the integrity of Tulane's research and commercialization efforts.

What should I do if I want to start a company?

1

Disclose early

Meet with the TULL team to ask questions about what it takes to launch a startup company. If you determine you would like to proceed, disclose it to the COI committee; the sooner you do, the easier it is to sort and manage potential conflicts. A COI management plan must be in place prior to the execution of a license agreement between the University and your startup.

2

Read the COI policy.

Familiarize yourself with the policy and disclosure requirements; counsel.tulane.edu/conflict-interest-policies

3

Seek individual guidance

General inquiries about the COI process can be directed to coi@tulane.edu or (504) 247-1286.

By understanding and addressing COIs, we can ensure responsible commercialization activities that benefit both Tulane and the broader community.



[Tulane Conflict of Interest Policies](#)

[Tulane University Compliance Matrix](#)

[Individual Consultations with the Compliance & Ethics Program Office](#)



A management plan in a written document is a “good thing.” It enhances transparency to create separation between personal activities and your university work to avoid the appearance of impropriety in university decision-making or research.



LICENSING FROM THE UNIVERSITY

Licensing a University Asset | Key Considerations and Standard Practices

Licensing a university-owned asset, typically a patent, opens the door to commercialization and societal impact. This process involves a carefully crafted agreement between the University and the licensee (any business, organization, or individual that has been granted legal permission or certain rights by the entity that owns the assets to engage in any activity related to these assets). Tulane faculty/employees are not allowed to represent a potential licensee or negotiate directly with OIPM.

Standard Terms and Conditions of a Licensing Agreement

Royalty on Sales

This is the most common form of compensation, typically calculated as a percentage of the net sales of products or services incorporating the licensed technology.

Upfront Fee

A one-time payment the licensee makes upon signing the agreement.

Milestone Fees

These are payments triggered by achieving specific development or commercialization milestones.

Maintenance Fees

Optional payments are intended to cover the ongoing costs of maintaining the patent, typically increasing with time.

Annual Minimum Royalties

Post-first sale, the licensee may be required to pay minimum annual royalties regardless of actual sales.

Equity

In some cases, universities may accept equity in the licensee company instead of, or in addition to, other forms of financial compensation.

Sublicensing

The licensee may be granted the right to sublicense the technology to third parties, often in exchange for a percentage of the sublicensing revenue.

Patent Expenses

While universities may initially cover the costs of filing and prosecuting a patent, the agreement typically stipulates that the licensee will pay back past patent expenses and assume responsibility for ongoing patent expenses post-license, including maintenance fees and potential legal costs. This principle ensures the long-term sustainability of the OIPM legal budget and allows universities to reinvest resources in further research and innovation.

Shared upside and commitment

Universities seek partnerships to maximize the translation of ideas, innovation, and intellectual property from Tulane to the marketplace. Therefore, they value licensees with skilled and committed (research/entrepreneurship/industry) teams who demonstrate a strong track record of bringing innovative products to market. Such partnerships ensure the optimal utilization of university assets and their translation into real-world solutions for society.

Universities value licensees with skilled and committed (research | entrepreneurship | industry) teams who demonstrate a strong track record of bringing innovative products to market. Such partnerships ensure the optimal utilization of university assets and their translation into real-world solutions for society.

GET STARTED

Go Green Startup License | Streamlining Innovation for University Startups

The Go Green Startup License, designed for faculty startup companies who are licensing intellectual property from the University, aims to accelerate development and commercialization at Tulane. This simplified contract process allows faculty to concentrate on innovation while attractive terms increase the success rate for startups and their appeal to investors.

Benefits!

- Faster timeline to execution and reduced cost of negotiation.
- Exclusive license with sub-licensing rights | Provides startups with full control and commercialization rights.
- No upfront, annual, or milestone fees | Reduces financial burden on startups.
- Performance milestones | Encourages successful business development.
- Delayed past patent expense repayment.
- Sliding royalty, sublicense, and equity percentages scaled by tech areas | Allows maximum deal structure flexibility.
- This streamlined approach fosters a dynamic environment for technology startups, paving the way for a more sustainable future.

Licensing of assets is a value-added mechanism for Tulane to translate research into commercially viable products that benefit society. The process involves careful negotiation and consideration of various factors, with the goal of achieving a mutually beneficial agreement that fosters innovation and supports commercial and societal impact. By adhering to standard practices, universities and licensees can create successful partnerships that lead to meaningful advancements in diverse fields.

KEY DEFINITIONS

Field of Use | The license may restrict the licensee's use of the technology to specific fields or applications.

Exclusivity | The license may be exclusive, granting the licensee sole rights to the technology, or non-exclusive, allowing the university to license the technology to other parties.

Term | The license will have a defined term, after which the rights revert back to the university or expire.

FUNDRAISING STRATEGIES

The best investors for your startup depend on its stage and development needs.

Early Stage

- Sweat Equity & Friends/Family
 - Founders and their close circle invest personal funds for initial expenses.
 - Clarity and upfront communication about goals and intentions are crucial.
- Non-Profit Grants
 - Ideal for aligning a company's mission with a non-profit's goals.
 - More prevalent in healthcare and social issues.
- Provost's Proof of Concept Fund
 - Non-dilutive grant to advance innovation prototyping (only eligible to pre-startup technology at Tulane University).
- SBIR/STTR Grants
 - Federal grants for research in small businesses (<500 employees).
 - Excellent for early research funding but has a lag between phases.
 - Learn more at www.sbir.gov.

Growth Stage

- Angel Investors
 - Successful entrepreneurs who are investing \$25k-\$100k each, often in groups. Funding is dilutive in exchange for equity.
 - Provide capital and valuable guidance.
 - Examples: Gulf South Angels, Lagniappe Angels, Red Stick Angel, New Orleans Startup Fund, Tulane Ventures.
- Industry Partnerships
 - Collaborations with larger companies for product development and validation.
 - Provide non-diluted capital and boost valuation.
 - Careful structuring is crucial to avoid hindering growth.

Later Stage

- Venture Capital Firms
 - Professional investors managing pooled funds generally from high-net-worth individuals and institutions. Funding is dilutive in exchange for equity.
 - Invest significant capital and offer valuable expertise and network.
 - Examples: High-tech VCs are more common than life sciences VCs due to shorter exit timelines.



PITCH TO US!
TULANEVENTURES.COM

Tips!

By understanding your options and making informed decisions, you can secure the proper funding to propel your startup toward success.

Choose investors wisely

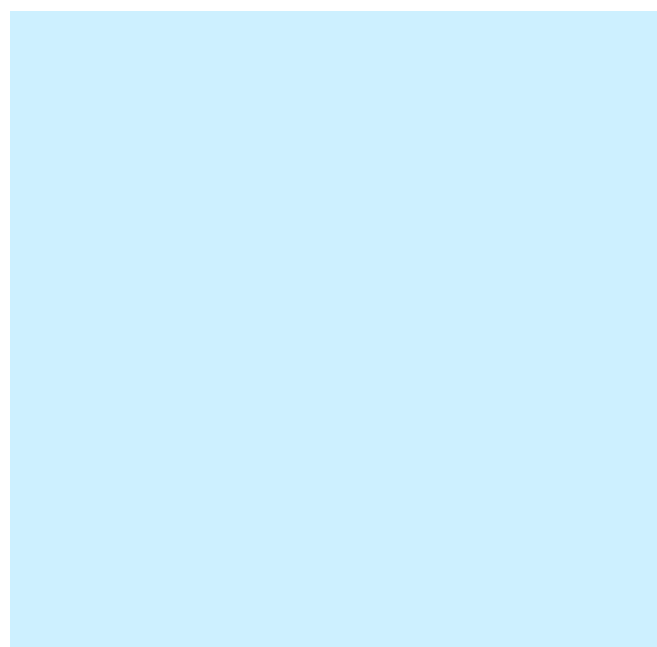
Their experience and network can significantly impact your company's trajectory.

Seek expertise

Utilize resources at Tulane Innovation Institute and other support networks for guidance.

Match the investor to your stage

Each type of investor offers different benefits at different stages of your startup journey.



OPTIONS TO FORM A COMPANY

Choosing the Right Structure

For any aspiring entrepreneur, choosing the right business structure is a critical decision that can significantly impact their success. The three most common options – Limited Liability Company (LLC), C-Corporation (C-Corp), and S-Corporation (S-Corp) – each offer distinct advantages and drawbacks, making it essential to understand their individual characteristics before making a choice.

Limited Liability Company (LLC)

Pros

- Pass-through taxation: Profits and losses flow through to the owner's personal income tax return, avoiding double taxation.
- Simplified administration: Fewer legal formalities and less paperwork compared to corporations.
- Flexibility in ownership structure: Suitable for single or multiple owners, with limited restrictions on ownership percentages.

Cons

- Limited access to capital: Raising funds from venture capitalists and angel investors can be challenging due to the lack of a formal stock structure. However, it can be converted to a formal structure later.
- Potential personal liability: If the business incurs debts, the owner's personal assets may be at risk in some cases.
- Limited transferability of ownership: Transferring ownership interests can be more complex than with corporations.

C-Corporation (C-Corp)

Pros

- Limited liability: Shareholders are not personally liable for the business's debts and obligations.
- Unlimited fundraising potential: Can raise capital by issuing stock shares, attracting investors and venture capitalists.
- Formal structure: Provides a clear and professional image, ideal for larger companies with complex operations.

Cons

- Double taxation: Profits are taxed at the corporate level and again when distributed as dividends to shareholders.
- Complex administration: More extensive legal and financial reporting requirements than LLCs.
- Costly setup and maintenance: Incorporation fees and ongoing compliance costs can be substantial.

S-Corporation (S-Corp)

Pros

- Pass-through taxation: Similar to LLCs, profits and losses flow through to the owner's personal income tax return, avoiding double taxation.
- Limited liability: Shareholders are protected from personal liability for the business's debts and obligations.
- Simplified compliance: Less complex reporting requirements than C-Corps, reducing administrative burden.

Cons

- Strict eligibility criteria: Limited to 100 shareholders with specific ownership requirements.
- Passive income limitations: Income from passive sources like interest and dividends can jeopardize S-Corp status.
- Limited fundraising options: Cannot raise capital through public stock offerings, restricting access to certain investors.

Considerations when choosing your business structure.

Business size and growth expectations

Startups and smaller businesses may benefit from the simplicity and tax advantages of LLCs, while larger companies with ambitions to scale may prefer the flexibility and fundraising potential of C-Corps.

Funding needs

If significant capital is required for growth, a C-Corp structure might be advantageous due to its easier access to investment.

Ownership structure

Single-owner businesses or partnerships often favor LLCs due to their flexibility and pass-through taxation, while companies with multiple investors may prefer the defined ownership structure of C-Corps.

Tax implications

Carefully consider the tax implications of each structure and consult with a tax professional to determine which option best fits your financial goals.

Personal liability concerns

Entrepreneurs who prioritize protecting their personal assets may prioritize C-Corps or S-Corps for their limited liability protection.

Helpful
Tip!

Ultimately, choosing a business structure depends on your specific circumstances and goals. It's important to carefully consider the advantages and disadvantages of each option, think about your long-term vision, and seek professional advice from lawyers and financial experts to make the most informed decision for your business.

Choosing the right structure can set the stage for success and ensure that your business thrives in the long run.



TULANE INNOVATION INSTITUTE



Branding is an investment in your company's future. Focus on these key elements, to build a strong brand that attracts investors and sets you on the path to success.

BRANDING YOUR STARTUP

Building a Brand for Investment Success | 3 Key Pillars

1

Product Branding | A Marathon, Not a Sprint

Branding your product is a journey, not a destination. Start by defining your target audience and understanding their needs. Develop a unique selling proposition that sets you apart. Craft a brand identity with a memorable name, logo, and visual language that resonates with your audience. Remember, consistency is key! Maintain a consistent brand voice across all mediums, from marketing materials to customer service.

Timeline

While the branding process is ongoing, key milestones should be achieved early. Secure intellectual property protection for your product's name, logo, and key features. Depending on your specific needs, this could include trademarks, patents, or copyrights. Protection strengthens your brand and safeguards its value. Within the first year, develop a clear brand strategy and visual identity.

2

Company Branding | Investors Seek Authenticity

Your company's brand should align with your product and resonate with your target audience. Define your mission, values, and story. What makes your company unique and impactful? Communicate this story authentically through your website, social media, and interactions with potential investors. Showcase your team's expertise and passion for your mission.

Timeline

Begin building your company brand early. Develop a strong online presence with a professional website and engaging social media profiles. Actively participate in industry events and build relationships with potential investors. Within the first year, define your mission statement and brand story.

3

The Name Game | A Memorable Start to Your Investment Journey

Your company name is your first impression. Choose a memorable name that is relevant to your product and industry, is easy to pronounce and spell, is legally available, and reflects your brand personality. Consider potential trademark implications and conduct thorough searches before finalizing a name.

Timeline

Prioritize choosing a name early in your company's development. Conduct trademark searches and secure legal protection before investing heavily in marketing or branding materials.

HIRING A TEAM

Building Your Dream Team | Hiring for Startup Success in New Orleans

In early-stage investing, capital flows not just into ventures but to the people who lead them. Investors are discerning, searching for more than promising ideas. They seek dedicated teams with the vision, passion, and grit to navigate the challenges of startup life and deliver tangible results. Ultimately, early-stage investments are driven by the belief in the team and their ability to transform a vision into reality.

Building a strong team is crucial for any startup, but it's especially important in our city's vibrant and competitive environment. With its unique culture, talent pool, and community resources, New Orleans offers a fertile ground for startups; here are some key roles and responsibilities needed for a well-rounded leadership team.

Chief Executive Officer (CEO)

This role provides the overall vision and leadership for the startup, setting the strategic direction and overseeing all aspects of the business. A strong CEO should possess excellent communication, leadership, and decision-making skills and a proven track record of successfully leading teams and achieving goals. Consider individuals with experience in your industry or a complementary field who can guide your startup through the challenges and opportunities of growth.

Chief Scientific Officer (CSO) or Chief Technology Officer (CTO)

This role is essential for startups with a strong scientific or technological foundation. Ideally, your CSO or CTO should be a passionate expert in your field with experience in research, development, and intellectual property (IP) management. Consider researchers who can leverage their research expertise and academic connections to accelerate your innovation pipeline.

Chief Operating Officer (COO)

Oversees the day-to-day operations of your company, ensuring smooth execution and efficient resource allocation. A skilled COO can wear many hats, managing finances, logistics, human resources, and other critical functions.

Marketing and Sales Director

This position is vital in generating leads, building brand awareness, and driving sales. Consider individuals with experience in your target market and a proven track record of success in generating revenue.



New Orleans Proud | Sell the benefits of the Crescent City!

When recruiting, highlight the unique advantages of New Orleans as a startup hub.

Vibrant Culture and Community

New Orleans offers a diverse and welcoming environment, fostering creativity and collaboration.

Lower Cost of Living

Compared to major tech hubs, New Orleans offers a lower cost of living, allowing you to attract talented individuals while stretching your budget.

Access to Capital

New Orleans boasts a growing ecosystem of venture capitalists, angel investors, and other funding sources, providing startups with capital access.

Access to Talent

New Orleans has numerous higher education institutions providing access to a robust talent pool, including graduates and students (subject to university policy and approvals). Recently, talent at startups that have exited the local market has been looking for opportunities to work with new startup companies.



Leverage these resources and showcase New Orleans' unique advantages to attract and hire talented individuals who will drive your startup's growth and success. Building a strong team is an ongoing process, so actively cultivate your network, participate in industry events, and create a positive and engaging work environment to attract and retain top talent.



Engage with Community Resources

New Orleans offers many resources to help startups find and hire top talent, including within Tulane.

Tulane University

BiInnovation Program

Engage with the BiInnovation Program within Tulane's School of Science and Engineering to access graduate students with deep scientific knowledge, research, and innovation training.

University Career Services

Collaborate with Tulane's Career Services to connect with graduating students and recent alumni with the skills and qualifications your startup needs.

Local Ecosystem

Build relationships with local talent communities. Connect with organizations like Idea Village, Startup Grind New Orleans, Greater New Orleans, Inc (GNO Inc.), Propeller, and Opportunity Hub (OHUB).

Visit startupnola.com/ecosystem for more resources.

RECRUITMENT OF BOARD MEMBERS

6 Steps to Building a Strong Foundation | Recruiting Board Members for Your Startup

A strong board of directors is invaluable for any startup, providing strategic guidance, industry expertise, and valuable connections. But how does a fledgling company attract experienced and qualified individuals to its board? Here's a roadmap to help navigate the recruitment process and build a board that propels your startup toward success:

1

Define Your Needs

Before embarking on recruitment, identify the specific skills and expertise your board needs. This depends on your startup's stage, industry, and growth goals. Consider areas like financial expertise, marketing and sales, industry knowledge, and governance experience.

2

Build Your Target List

With needs defined, start identifying potential board members. Look for individuals with a proven track record of success in their respective fields, preferably those with experience in startups or similar ventures. Consider leveraging your network, attending industry events, and seeking recommendations from investors, advisors, or other startup founders.

3

Craft Compelling Value Propositions

Why would someone want to join your board? Be clear about your value proposition, highlighting the potential for meaningful impact, personal growth, and intellectual stimulation. Emphasize your company's mission, vision, and the positive change you aim to achieve.

4

Engage in Meaningful Conversations

Go beyond cold pitches. Reach out to potential board members through personalized emails, phone calls, or video meetings. Demonstrate your passion, commitment, and understanding of the board role. Engage in open and transparent discussions about your startup's goals, challenges, and expectations.

5

Offer Competitive Compensation

While board members are often driven by the opportunity to contribute to a meaningful venture, competitive compensation should still be considered. This can include cash compensation, stock options, or other forms of equity. When structuring your compensation package, consider industry standards and your startup's financial situation.

6

Ensure Diversity and Inclusion

Building a diverse board with varying backgrounds and perspectives fosters creativity, innovation, and well-rounded decision-making. Actively seek out board members from different demographic groups, including women, people of color, and individuals from diverse professional backgrounds.

Tips for Advancement and Fundraising

Building a strong board benefits your day-to-day operations and is crucial to your future success. Your board members can accelerate you and your startup by:

Providing strategic guidance and mentorship

Their experience and expertise can help you navigate complex business challenges, make informed decisions, and avoid potential pitfalls.

Opening doors to investors and partners

Their network can connect you with potential investors, venture capitalists, and strategic partners, significantly enhancing your fundraising efforts and expanding your reach.

Boosting your company's credibility and reputation

Having well-respected individuals on your board lends credibility to your startup, attracting talent, investors, and potential collaborators.

Ensuring good governance and accountability

A strong board promotes transparency, ethical practices, and sound decision-making, building trust with stakeholders and investors.



Remember!

Building a successful board is a continuous process. Conduct regular board evaluations, actively seek feedback, and foster a collaborative and inclusive environment. By investing in your board, you're investing in your startup's long-term success and sustainability, paving the way for future advancement and achieving your full potential.

FINANCIAL MANAGEMENT

Meticulous planning and budgeting are important for startup success. Below are fundamental processes, a roadmap for navigating the entrepreneurial journey, ensuring efficient resource allocation, and maximizing the chances of achieving your goals.

Financial Viability and Efficiency

A well-defined budget provides a clear understanding of your company's financial situation. It helps you identify your income and expenses, track your progress toward financial objectives, and make informed decisions about resource allocation. This proactive approach prevents overspending and ensures your startup remains financially viable in the long run.

Investors prioritize transparency when considering investment opportunities. Sharing accurate and accessible financial information, including income statements, balance sheets, and cash flow statements, demonstrates your commitment to responsible financial management and helps investors assess the viability and potential of your venture. This transparency builds trust, facilitates informed decision-making, and ultimately increases your chances of securing funding and achieving your entrepreneurial goals.

Goal Setting and Prioritization

Planning allows you to clearly define your goals and identify the key milestones you need to achieve. It also allows you to prioritize tasks and resources effectively, ensuring you focus on the activities that will bring you closer to your vision.

Adaptability and Flexibility

The startup environment is inherently dynamic and unpredictable. A comprehensive plan helps you anticipate potential challenges and prepare for unforeseen circumstances. While maintaining your core vision, flexibility allows you to adapt your strategy and resource allocation as needed, ensuring your startup remains resilient and responsive to changing market conditions.

Investor Confidence and Funding

Thorough budgeting and planning play a vital role in securing funding. A well-defined business plan with realistic financial projections demonstrates your commitment, professionalism, and ability to manage resources effectively. This instills confidence in potential investors, making them more likely to provide the resources your startup needs to flourish.



By prioritizing budgeting and planning, university startups can navigate the journey toward success with greater clarity, efficiency, and adaptability. Following this roadmap will build investor confidence & set the stage for investor funding.

SCALING STRATEGIES

Scaling a university-born high-tech startup requires navigating the treacherous "valley of death" - a critical stage where funding dries up and commercialization hurdles loom. To emerge victorious, startups must strategically address the key challenges:

1

Bridge the Innovation Gap

- *Focus on market-ready solutions:* Align your technology with a specific market need and demonstrate its commercial viability.
- *Build a strong intellectual property portfolio:* Secure patents and other protections to safeguard your innovation and attract investors.
- *Develop a clear go-to-market strategy:* Define your target market, marketing channels, and sales strategy for efficient market penetration.

2

Secure Sustainable Funding

- *Seek diverse funding sources:* To diversify your funding base, explore venture capital, angel investors, government grants, and crowdfunding platforms.
- *Demonstrate strong financial planning:* Develop a comprehensive financial model that showcases your projected growth and profitability.
- *Build strong relationships with investors:* Cultivate trust and transparency with potential investors through regular communication and updates.

3

Build a Scalable Team

- *Recruit talent with complementary skillsets:* Assemble a team with the expertise needed to navigate the high-tech landscape.
- *Foster a culture of innovation and collaboration:* Encourage creativity, risk-taking, and open communication within your team.
- *Invest in ongoing training and development:* Equip your team with the skills and knowledge needed to adapt to the rapidly evolving tech landscape.

4

Navigate Regulatory Hurdles

- *Comply with relevant regulations:* Identify and adhere to all applicable regulations and industry standards.
- *Build relationships with regulatory agencies:* Proactively engage with regulatory bodies to ensure your technology meets all safety and compliance requirements.
- *Seek expert guidance:* Partner with legal and regulatory experts to navigate the complex compliance landscape.
- For more information about the importance of permissibility in launching new products, software, or services, please see our [permissibility guide](#).

5

Embrace Partnerships

- *Collaborate with other research institutions and industry players:* Leverage external expertise and resources to accelerate your development and commercialization process.
- *Forge strategic alliances with complementary companies:* Partner with companies that can provide access to new markets, technologies, or distribution channels.
- *Utilize TUII resources and university networks.* Leverage the Green Wave Innovation Network for support.

EXIT STRATEGIES

Navigating the Exit | Planning Your Startup's Future

For every aspiring entrepreneur, the journey of building a successful startup comes with the inevitable question: what's next? While the immediate focus lies in navigating the challenges of launch, growth, and market validation, planning for an eventual exit strategy is crucial for ensuring the long-term success of your venture.



Exit strategies for startups typically fall into 4 categories

Sublicensing of Specific Rights

Granting another company the right to use your technology or intellectual property in a specific domain can generate additional revenue streams without relinquishing complete control. This approach allows you to continue operating your core business while benefiting from collaboration and market expansion.

Merger

Combining forces with another company can create a stronger entity with a larger market share and more diversified resources. This can accelerate growth and innovation but may require navigating complex integration processes and potential cultural clashes.

Acquisition

Being acquired by another company offers a quicker and less demanding exit than an IPO. This can provide significant financial returns for founders and investors but may also lead to changes in company culture and direction.

Initial Public Offering (IPO)

Taking your company public allows access to broader investor pools and potentially significant capital injections. However, this path involves stringent regulations, high compliance costs, and the loss of some control over the company.

A successful exit is not just about maximizing financial gain; it's about ensuring your venture's long-term sustainability and impact. By planning your exit strategy early and executing it strategically, you can position your startup for success and leave a legacy in your chosen field.

Tulane Innovation Institute can provide access to GWIN mentors who specialize in exits and can provide valuable advice.

Steps to Plan the Future

Develop a Clear Vision

Build a Scalable Business

Manage your Intellectual Property

Build Strong Relationships

Maintain Financial Transparency

Assemble a Skilled Team

Regardless of your chosen exit strategy, thorough planning and execution are paramount.

To integrate your exit strategy into your startup's blueprint, start by defining long-term goals and the desired outcome for your company. This is crucial for making strategic decisions and selecting an appropriate exit path. Focus on developing a scalable business model, protecting your intellectual property, building relationships early on, maintaining clear financial records, and surrounding yourself with experienced advisors.

Steps to Execute the Plan

Track your progress

Stay informed

Maintain flexibility

Once your plan is in place, focus on consistent execution by taking several key actions.

Monitor key metrics and benchmarks to assess your progress toward your exit goals. Stay informed about industry trends, market conditions, and potential acquirers or partners to adapt your exit strategy accordingly. Be open to modifying your exit strategy based on changing circumstances and market dynamics to maximize your potential return.



CONNECT WITH THE TULANE INNOVATION INSTITUTE TEAM



The Startup Guide aims to provide a roadmap for innovating and starting a technology company. Start early with a decision on research and IP strategy and consider the exit. To begin your journey, please contact our team at innovation@tulane.edu.

Partner with us to bring your innovations to market!

Kimberly Gramm, MBA, PhD

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Visit the Tulane Innovation Institute website for our portfolio of programs to support your journey, innovation.tulane.edu/programs.

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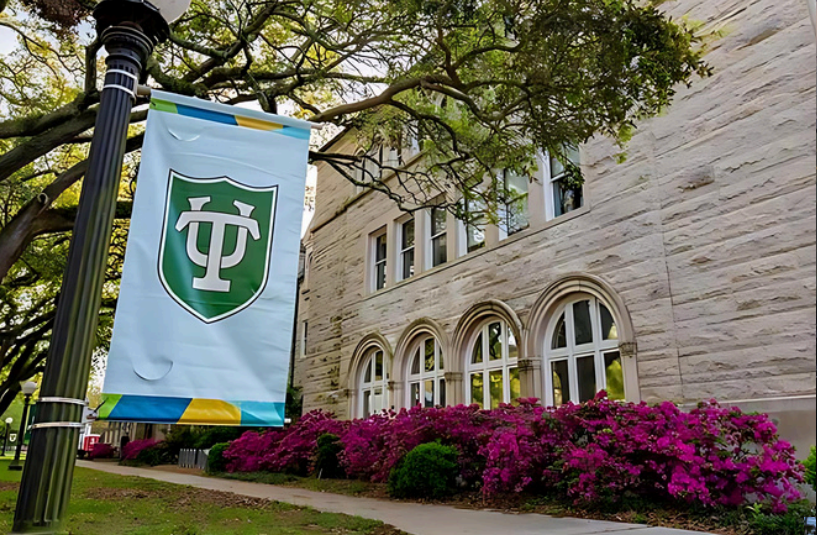
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