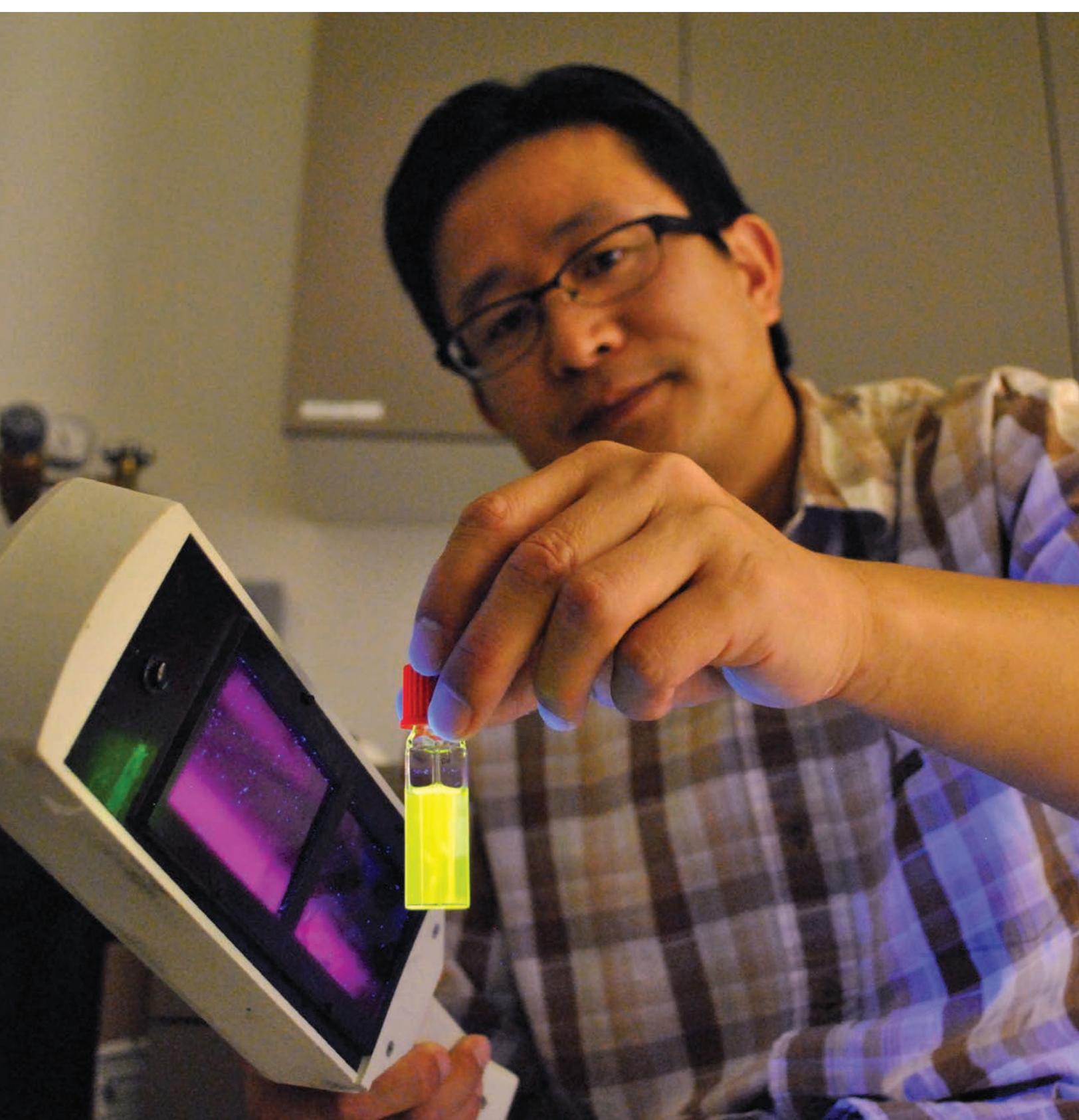




ANNUAL REPORT 2011



Turning Innovation Into Industry

The Utah Science Technology and Research initiative (USTAR) focuses on leveraging the proven success of Utah's research universities in creating and commercializing innovative technologies to generate more technology-based start-up firms, higher paying jobs, and an expansion of Utah's tax base.

The March 2006 legislation that created USTAR provides funding to:

- Recruit top-level researchers
- Build state-of-the-art interdisciplinary research and development facilities
- Form science, innovation, and commercialization teams across the state

In five years of operation, USTAR has hit significant milestones in its three program areas – Research Teams, Building Projects, and regional Technology Outreach.

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Results in Brief

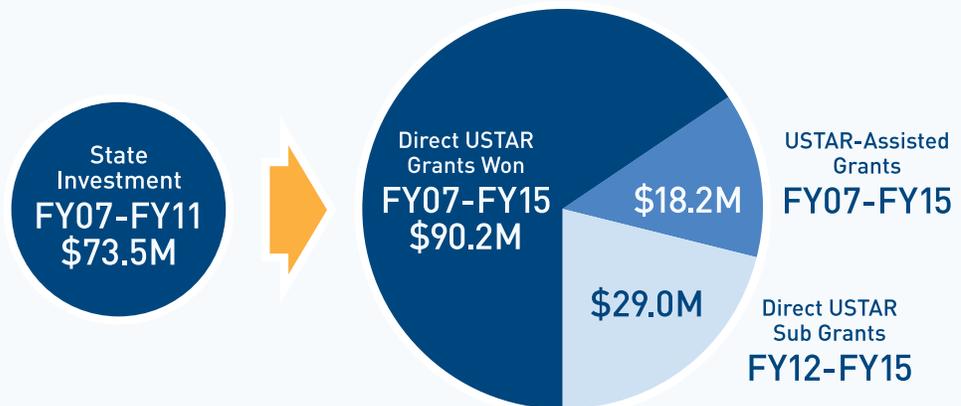
Research Teams

As of June 30, 2011, USTAR had recruited more than 40 top researchers to the University of Utah (U of U) and Utah State University (USU). These innovators have come from Harvard, MIT, UCLA, Case Western Reserve and other leading institutions.

Through June 2011, USTAR researchers have won \$90.2 million of direct federal and other funding, with awards to date and through FY2015. Including USTAR-assisted research and direct sub-contract funding committed for future years, USTAR researchers account for \$137.4 million in total impact. Given the state's \$73.5 million investment in the program to date, that's a 187% leverage of Utah's research investment so far.

State's Research Investment Leveraged 187 Percent

\$73.5 MILLION YIELDS \$137.4 MILLION IMPACT



USTAR innovators have generated a portfolio of intellectual property, which will fuel economic impact far into the future. One-hundred and twenty-one invention disclosures and 46 provisional patents have been filed, a highly productive performance in light of national averages. USTAR researchers have created four companies, and have a commercialization pipeline of more than 20 other projects.

USTAR has engaged the Bureau of Economic and Business Research (BEBR) to analyze the economic impact of the initiative in its first five years. Results are expected in the fourth quarter of 2011, and will include job creation as well as a comparison of performance to the 2005 Economic Prospectus created at USTAR's inception.

Research Facility Construction

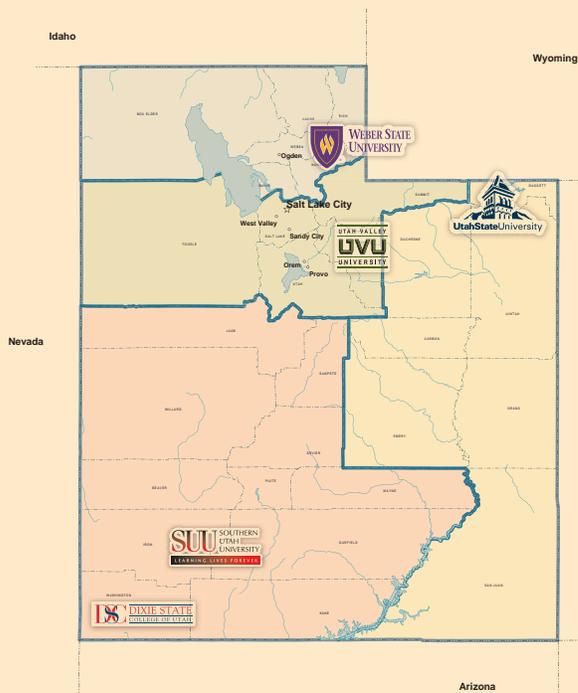
USTAR funding supports construction of state-of-the-art interdisciplinary research and innovation facilities at the U of U and USU. Each structure will provide research teams with strategic core facilities to advance innovation and commercialization in their respective focus areas. These facilities are already proving to be “industry magnets” for collaboration.

Research teams began to move into USU’s BioInnovations Building in January 2011. The U of U building is progressing toward an early 2012 opening. Both projects significantly expand the state’s life science research and commercialization resources.

Technology Outreach

USTAR’s Technology Outreach Innovation Program (TOIP) is the engine to drive commercialization activities. The regional program is led by industry-experienced directors deployed across Utah. Each director heads an Outreach Center located at one of the state’s higher educational institutions. The directors assist in expanding the transfer of new or improved technologies from state universities to existing companies.

In FY2011, USTAR Technology Outreach staff conducted more than 200 projects that supported companies, entrepreneurs and researchers in 16 of 29 counties in the state. And the team facilitated the Technology Commercialization Grant Program, which links regional higher-ed institutions with local innovators to bring unique ideas to commercialization. So far, the grant program has resulted in 72 product prototypes, 73 disclosures or patents filed, 37 new sales distribution agreements, more than \$8.3 million in follow-on investment, and the creation of 15 new companies. More detail on these activities is provided later in the report.



Organization

The USTAR Governing Authority board is an experienced and committed team of ten leaders with diverse experience in inventorship, entrepreneurship, financial capital, university research, and running and growing companies.

The board holds public meetings monthly. See the “Events” tab at www.innovationutah.com for details.



- Dinesh Patel, Ph.D., Managing Director, vSpring Capital (Chairman) TOP LEFT PICTURE
- Spencer P. Eccles, Executive Director, Governor’s Office of Economic Development (Vice Chairman) BOTTOM LEFT PICTURE
- Scott Anderson, CEO, Zions Bank
- Cynthia Burrows, Ph.D., University of Utah
- Jim Dreyfous, Managing Director, Pelion Venture Partners
- Richard Ellis, Utah State Treasurer’s Office
- Hunter Jackson, Ph.D., CEO of Navigen Pharmaceuticals
- Richard Linder, CEO, Coherex Medical Inc.
- Dan Olsen, Ph.D., Brigham Young University
- Charles J. Precourt, Vice President and General Manager, ATK Aerospace Systems, Space Launch Systems



USTAR staffing is comprised of regional technology outreach staff (directors, analysts, and interns) and headquarters personnel. Strategic efforts include support for the BioInnovations Gateway and SBIR-STTR Assistance Center, Utah Cluster Acceleration Partnerships, research team commercialization, regional commercialization projects, and other initiatives such as the Governor’s 10-year Energy Plan.

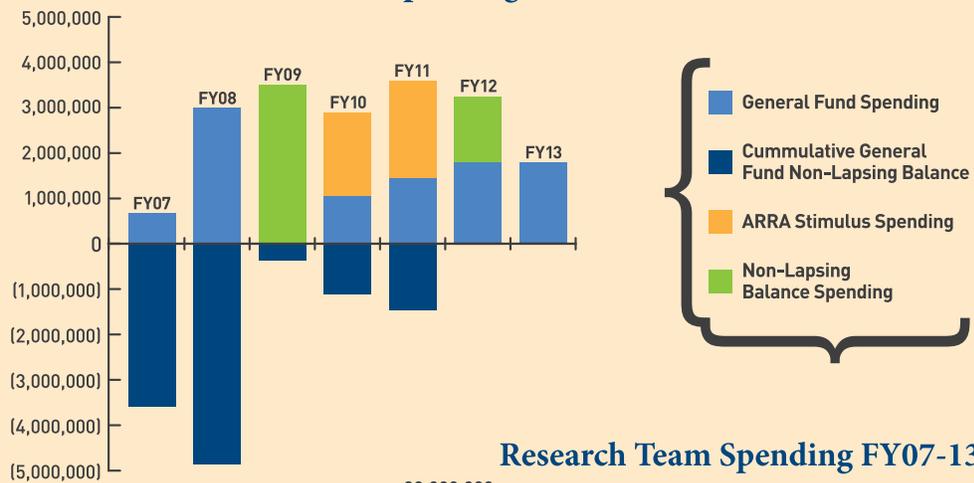
Over several years, USTAR has entered into joint staff appointments with key economic development partners. These cost-sharing arrangements not only ensure efficient and effective use of state funds, they also promote closer collaboration and coordination with our partner organizations. Agreements are currently in place with Weber State University, U of U Energy & Geoscience Institute, Office of Energy Development, Utah Valley University, SEED Dixie, Utah State University, and the Governor’s Office of Economic Development (GOED).

Ongoing Funding

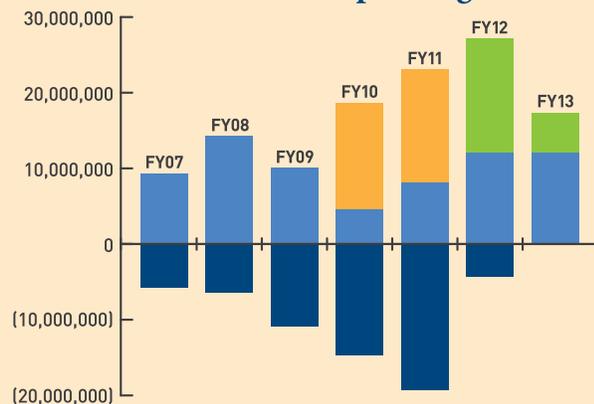
When the USTAR initiative was created in 2006, state funding was initiated at \$15 million per year for research and \$4 million per year for technology outreach/commercialization. Budget cuts have reduced actual General Fund spending by about 28 percent.

Senate Bill 240 in the 2009 Session provided federal American Recovery and Reinvestment Act (ARRA) funding of \$33,000,000. With these funds, and with nonlapsing carryover, USTAR's actual and projected spending over the same time period can be seen in the chart below. Federal funds have been used aggressively to augment state General Funds. As of Sept. 2011, all ARRA funds are spent.

Outreach & Admin Spending FY07-13



Research Team Spending FY07-13



Historical note: When the idea for USTAR was first developed by state and business leaders, funding was projected at \$25 million per year. These numbers were reflected in the initial economic prospectus.

Research Teams

USTAR focus areas are:

- Based on existing University strengths
- Have vast commercialization opportunities and address large and strategic global markets
- Leverage Utah industry strengths

The strategy is to attract all-star research faculty from outside the state with a reputation for innovation and commercialization. In effect, USTAR seeks to bring “rainmakers” to the state’s two public research universities to work with our existing experts on bigger and more challenging efforts.

BioDevice and BioPharma

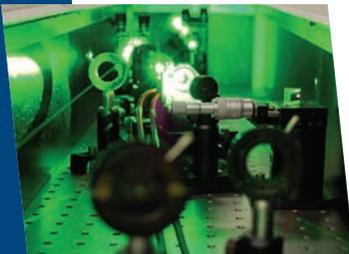
- Applied Nutrition, USU
- Biomedical Device Innovation, U of U
- Synthetic Bio-manufacturing, USU
- Veterinary Diagnostics and Infectious Disease, USU
- Genomic Medicine, U of U

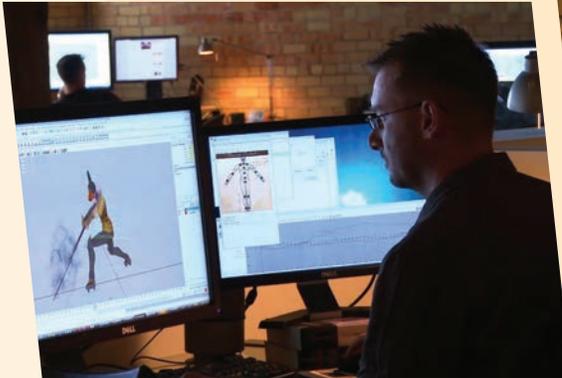
Nanotechnology

- Wireless Nanosystems, U of U
- Nanotechnology Biosensors, U of U
- Micro and Nano Systems Integration, U of U

Energy

- Alternative Energy, U of U
- Energy Initiative, USU
- BioEnergy, USU
- Fossil Energy - Carbon Engineering, U of U
- Intuitive Buildings, USU
- Wireless Power Transfer, USU





Medical Imaging and Brain Medicine

- Circuits of the Brain, U of U
- Diagnostic Neuroimaging, U of U
- Imaging Technology, U of U
- Nanoscale and Biomedical Photonic Imaging, U of U

Visualization Technology

- Digital Media, U of U
- Advanced Sensing and Imaging, USU
- Space Weather, USU



USU Feature Stories

Spider Silk: “Web-enabled” Medical Applications and More

Randy Lewis, USTAR professor and Synthetic Bio-manufacturing Center team member, is dedicated to finding a solution to produce consistent spider silk proteins with commercial applications such as:

- Medical devices
- Rubber and plastics
- Auto parts

Medical: There are more than 100,000 ligament repair and replacement surgeries in the United States each year, costing consumers more than \$3 billion yearly.

Rubber: Spider silk has potential to increase tire absorption and decrease the chance of blown tires.

Auto parts: The exceptional flexibility, strength and weight of spider silk makes it an ideal material for airbags.

Spiders are hard to raise at a commercially viable scale. As a solution, Lewis and his team have created a line of transgenic goats that produce spider silk proteins in goat milk.



Bioplastics: A Market Opportunity

Plastic produced from non-petroleum derived oils cost nearly twice as much as plastic from petroleum. Focused on this market opportunity, USU researchers in the Synthetic Bio-manufacturing Center USTAR team are scaling up bioplastic production to be cost-competitive with traditional plastic manufacturing. Furthermore, the bioplastics have the advantage of biodegradability.

Biodegradable materials for the production of bioplastics target the manufacture of:

- Plastic bottles
- Cosmetic containers
- Paper coatings
- Medical devices
- Pens

Someday soon, thanks to USU researchers, you may drink your cola from a bottle created from plastic secreted by single cell organisms.

Energy Efficiency Comes to the Office

Nine quadrillion BTUs of energy were used in commercial office buildings in 2005.

Current occupancy sensors — the ones you wave your hands at when the lights in the conference room turn off — are not sophisticated. Lights stay on too long or turn off too soon. These errors cause user annoyance and waste energy.

The prototypes USU has developed could reduce the energy used in commercial buildings dramatically.

Researchers at USU's Research Foundation in the USTAR-funded Institute for Intuitive Buildings have developed accurate occupancy intelligence sensing technology. A combination of hardware and software that logs and anticipates user patterns, the prototypes USU has developed could reduce the energy used in commercial buildings dramatically. The sensors work with low-cost, off-the-shelf hardware—making the technology cost competitive.

STORM: Building on the SDL Legacy

USU's Space Dynamics Laboratory (SDL) has teamed with GeoMetWatch, a privately held company, to develop a highly advanced environmental observation system. STORM will be the first in a series of the GeoMetWatch constellation of satellites.

Data from STORM sensors will enable forecasters to better:

- Predict the path of hurricanes,
- Improve advanced warning time on tornadoes, and
- Predict flood potential in specific regions around the world.

These advanced severe weather warnings are designed to provide governments and corporations critical data, and ultimately to help save lives and property. The technology arises from SDL's decades of experience in satellite design.





Diet study may make breathing easier

There are more than 100 days each year with poor air quality in the Cache Valley, impacting health by limiting lung function and by weakening the immune system.

Led by Dr. Michael Lefevre, focusing on overall human health and personalized nutrition, the Applied Nutrition Research team will conduct a clinical research study to understand the connection between dietary antioxidants and the impact of small particulate pollution on the respiratory systems of at-risk groups.

A partnership between USTAR's Applied Nutrition Research team and USANA Health Sciences, a Utah-based global nutritional supplement company, was announced in October 2011. USANA is the first Utah company to partner with the USTAR Applied Nutrition Research team. At USU, every dollar spent on research generates an additional \$.76 in economic value for the state.

The Next WAVE: Wireless Power Transfer

Heavy metal is great unless it's in your battery-powered vehicle. WAVE Technologies, a new USU spinout company, is a vehicle electrification company based in Park City, UT. Rather than follow the paradigm that loads electric vehicles with nickel, lead and other expensive metals, WAVE is developing systems to transfer power wirelessly between vehicle and roadway. The result: fast, light vehicles that don't require heavy batteries.

The only company of its kind in the U.S., WAVE seeks to electrify existing patches of roadway at specific intervals—making it a viable option for bus systems where travel routes are clearly defined. In November 2011 WAVE received a \$2.7 million grant from the Federal Transit Administration for its project to electrify a bus route at the U of U.



U of U Feature Stories

New materials research center at the U of U

The University of Utah is launching a new Center of Excellence in Materials Research and Innovation aimed at developing new materials for computers, communication devices, microscopes and solar cells. The center is being established and funded for six years by a highly prestigious \$12 million grant from the National Science Foundation (NSF), \$6.5 million for major equipment from USTAR and \$3 million from the U of U.

“While the NSF clearly put weight on the university’s capabilities, the state’s support through the USTAR initiative was critical in winning the \$12 million grant,” said Anil Virkar, center director and chair of materials science and engineering. “Without that commitment, we would not have been successful with this proposal.”

Up-and-coming USTAR researchers gain national attention

While many USTAR recruits are top researchers in the prime of their careers, a number are young, up-and-coming innovators. Three examples:

Miriah Meyer, a recent recruit from Harvard University to the U of U’s Scientific Computing and Imaging (SCI) Institute, has been acclaimed one of the top 35 innovators under age 35 by Technology Review, a magazine published by the Massachusetts Institute of Technology (MIT). The magazine cites her work in providing biologists with new ways to visualize data.

Hanseup Kim, a U of U assistant professor of electrical and computer engineering and member of the USTAR Micro and Nano Systems team – has won a \$300,000 Young Faculty Award from the Pentagon’s Defense Advanced Research Projects Agency (DARPA). Kim is among only 39 young faculty nationwide recognized by this year’s awards, which DARPA says are meant “to identify and engage rising research stars in junior faculty positions.”

Rajesh Menon, a U of U researcher at the Department of Electrical and Computer Engineering, recently won the International Commission for Optics (ICO) Prize for “breakthrough achievement in nanolithography.” The ICO Prize is given annually to a person under 40 who has made a noteworthy contribution to optics. Menon’s research focuses on spatial resolution of optics and on alternative energy applications.



No Mean Feet: A Nano Net to Detect Explosives

More than 780 million passengers traveled domestically on airlines last year. A revolutionary sensor under development at the U of U may change the process of airport security. The technology has the potential to detect all explosive threats on a person's body at checkpoint security quickly, inexpensively, and at high sensitivity – which means someday you won't have to tug your shoes off when rushing for a flight. The technology has further application in military operations and building security.

USTAR researcher Dr. Ling Zang is creating a sensor made up of nanowires – infinitesimally small threads that act as super-fine filters that catch molecules from explosives as they float through the air.

“These tiny nanowires are intertwined like a spider web,” says Zang. “The threads capture single molecules from an explosive just like a web catches flies.”

Building upon more than \$1 million in federal research grants, Zang has launched a company called Vaporsens to commercialize the novel approach and tackle the \$1 billion market.

U of U team wins federal grant to develop pancreatic cancer testing technology

Leveraging advances made in high-speed, high-sensitivity magnetic sensing, a team of U of U researchers has been awarded a five-year, \$2.3 million federal grant to create a nanotechnology-based platform for the early detection of cancer.

The goal is to produce a magnetic sensor and associated analytical tools that can, in a matter of seconds using a drop of blood or other bodily fluid, identify and quantify hundreds of protein biomarkers that may indicate the presence of cancer.

The project targets deadly pancreatic cancer as the first step in platform development and performance validation. The scanner uses technology similar to a laptop disk drive or music CD reader.

Co-leader of the research team is USTAR researcher Marc Porter of the Departments of Chemistry, Chemical Engineering, and Bioengineering.



U of U and USTAR seed the Digital Media economy

The Princeton Review recently ranked Video Game undergraduate studies at the U of U at number two in the nation behind the University of Southern California. The U of U Entertainment Arts and Engineering graduate program took the number six spot nationwide.

Craig Caldwell, USTAR professor of digital media, collaborated with other U of U faculty to expand and elevate the programs.



“It’s all integrated and emulates industry working spaces that foster team collaboration”

“I think the Princeton Review liked what we’re doing in terms of infrastructure. We’ve got a space on campus in an old art museum just for the grad students. We’re adding another space in Computer Science next year. These facilities – which were paid in part by USTAR funding – include dedicated computer workspaces for

testing and development, as well as lecture areas. It’s all integrated and emulates industry working spaces that foster team collaboration,” Caldwell says.

Princeton Review top 6 undergraduate schools for video game design study for 2011 are:

1	University of Southern California (Los Angeles, CA)
2	University of Utah (Salt Lake City, UT)
3	DigiPen Institute of Technology (Redmond, WA)
4	The Art Institute of Vancouver (Vancouver, BC, Canada)
5	Michigan State University (East Lansing, MI)
6	Worcester Polytechnic Institute (Worcester, MA)

USTAR Buildings and Infrastructure

Building Utah's Research Capacity

Two state-of-the-art interdisciplinary research and development facilities have been built as a result of a key program of the USTAR initiative. The USU USTAR BioInnovations Center opened in January 2011, and adds 118,000 square feet to the state's "innovation infrastructure." At the U of U, the 208,000 sf James L. Sorenson Molecular Biotechnology Building is scheduled for researcher occupation in January 2012.

The primary purpose of these buildings is to give our research teams top-of-the-line facilities in which to conduct their work in USTAR's key innovation focus areas. The secondary purpose - also critical - is to foster the connection between industry, entrepreneurship and research. Each facility will encourage collaboration between researchers and industry experts.

USU

“The design achieves almost 48 percent energy savings over the baseline.”

The USU building, located on the USU Innovation Campus in North Logan, houses researchers pursuing applied nutrition, veterinary and other life science efforts. Facilities include:

- Bio Safety Level 3+ lab
- Vivarium and life science labs
- Clinical nutrition center

No other non-military building in the state has this level of Bio Safety capability.

In October 2011, the USTAR BioInnovations Center was awarded LEED (Leadership in Energy and Environmental Design) Gold certification by the U.S. Green Building Council.

LEED certification requires that a building project is environmentally responsible, profitable and a healthy place to live and work. LEED promotes sustainable building and development practices through a suite of rating systems that recognize projects that implement strategies for better environmental and health performance.

“The design achieves almost 48 percent energy savings over the baseline, which is fairly significant for a high-tech lab building that requires 100 percent constant fresh outside air,” said Joshua Greene of AJC Architects.



“With apologies to U of U athletics, the big game in the PAC-12 is research, and the Sorenson center puts us in good stead with our peer institutions.”



U of U

At the U of U, Layton Construction, Inc. is the Construction Manager General Contractor (CMGC) and Lord, Aeck & Sargent Architecture is the Architectural and Engineering (AE) firm and design team lead (with local collaboration with Prescott Muir). The 208,000 square-foot facility is designed for LEED Gold certification and includes a 23,000 square-foot nanofabrication and imaging center, vivarium, and neuroscience and biotechnology labs.

“With apologies to U of U athletics, the big game in the PAC-12 is research, and the Sorenson center puts us in good stead with our peer institutions,” said USTAR Governing Authority chair Dr. Dinesh Patel. “The nanofab in particular is a world-class resource that will accelerate discoveries in biomedical engineering.”

Other Infrastructure

Since inception, USTAR has served a supporting role in the creation of additional resources that build Utah’s research and commercialization capacity statewide. These include:

- USU algae biofuels center (North Logan)
- USU Bingham Entrepreneurship and Energy Research Center (Vernal)
- BioInnovations Gateway life science incubator (Salt Lake City)
- U of U Accelerator life science incubator (Salt Lake City)
- SBIR/STTR Assistance Center (Sandy)
- Information Technology and Renewable Energy incubator (St. George)
- Two 3-T Magnetic Resonance Imaging devices at the U of U (Salt Lake City)

Technology Outreach: Success Stories

SBIR-STTR Assistance Center

The federal Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) programs offer more than \$2.5 billion dollars annually to support the development of technology by small businesses across the nation. SBIR/STTR funding is an excellent source of early stage capital that doesn't require equity participation.

With critical support from Salt Lake Community College, GOED and others, USTAR Technology Outreach spearheaded the creation of the SBIR/STTR Assistance Center (SSAC) to help small business statewide capture a larger share of federal research dollars. SSAC is based at the Miller Campus of Salt Lake Community College, and USTAR staff members run the center.

In FY2011, the center worked with 19 companies to successfully win \$1.8 million of new funding.

In FY2011, the center worked with 19 companies to successfully win \$1.8 million of new funding. Since the center's inception, it has assisted in bringing in \$3 million of new funding.

BioInnovations Gateway

BioInnovations Gateway (BiG) is an incubator specializing in Utah's life science industry. BiG provides 25,000 square feet of wet and dry labs and office space for up to seven start-up companies to develop products.

What makes BiG unique is that it combines business incubation resources with workforce development. Students from six local high schools, Salt Lake Community College, and Utah Valley University work as interns for BiG clients. The companies have an opportunity to "try before they buy," training new workers for potential hire.

Funding for the facility comes from a Department of Labor Workforce Innovation and Regional Economic Development (WIRED) grant, Granite School District, and USTAR. As of Sept. 2011, four clients are in BiG and the center has assisted in helping these clients secure \$6 million in private investment.

Commercialization Grants Driving Results

In an effort to bring innovative new technologies to market, USTAR launched the Technology Commercialization Grant (TCG) program. The regional higher education track launched in mid-2009 and later in the year, USTAR funded similar programs at the state's two research universities. Between the regional and research TCG programs, 87 projects have been approved. The typical grant amount has been in the range of \$30,000. In two years, the impact of the program has been considerable.

As of Sept. 30, 2011, the following results have been generated:

- 72 product prototypes
- 73 disclosures or patents filed
- 37 new sales distribution agreements signed with outside partners
- More than \$7.9 million in private equity investment and \$354,000 in additional university commercialization funding
- 15 new companies

Based on the results USTAR Technology Outreach has driven through this program, the Governor's Office of Economic Development restructured the Centers of Excellence grant program into a new approach (called the Technology Commercialization and Innovation Program) that reflects many of the features of the TCG program.

Cluster Acceleration Project

USTAR's regional Technology Outreach centers are supporting the Utah Cluster Acceleration Partnership (UCAP), an initiative sponsored by the Utah System of Higher Education, the Department of Workforce Services, and GOED. The objective of UCAP is to better utilize Utah's higher education assets to drive growth in critical economic clusters. USTAR TOIP personnel are active in the digital media, healthcare, energy and regional UCAP projects currently underway.

TCG Testimonials

“ENVE Composites was in negotiations to ship more than a dozen Northern Utah jobs overseas. The TCG funding enabled us to develop a testing device that solved their production issues, and those jobs have remained in Utah as a direct result.”

– **BRAD STRINGER**, director of the Utah Center for Aviation Innovation and Design, Weber State University.

“We are now investing in a six-figure, multi-year drug research project in part based on what a \$50,000 TCG project produced.”

– **ALAN MUELLER**, Vice President for Research, Navigen, on the U of U Protease-Resistant Inhibitors of HIV Entry project.

“The TCG provided funding that helped us design and produce our bee condos in the very early stages. It also allowed us to do a lot of networking, which resulted in a product request from the largest almond grower in the world. I have no doubt that native bees have a future in agriculture, and USTAR helped me get into the industry.”

– **KIMBALL CLARK**, NativeBees Inc.

“The USTAR project is helping us learn how adaptable the organism is, and how we can scale a product and widen its application to a spectrum of needs. The testing and the USTAR backing give us greater credibility in the market.”

– **FRED JAEGER**, US BioRemediation Inc.

“Bret Berger, the owner of Moki Systems, a St. George-based software development company, said the grant helped the company develop a prototype for its online agricultural water system monitoring technology. The funds also allowed Moki Systems to hire two Dixie State students who assisted the company in developing its software. While the additional funding is helpful, Berger said the guidance and connections offered by USTAR have proven equally valuable. ‘They have kind of provided a spark that pushed us along,’ he said, adding that USTAR connected the company with students at Dixie State.”

– SPECTRUM, ST. GEORGE

“Jamie Lords, president of SmackDab Technologies, a company developing a laser-based layout system designed for use within the construction sector, said his company also relies upon USTAR and local college students. [USTAR provided] funds for the company to develop its prototype and pay students for their work on the project. ‘It brought us to life,’ he said of the grant, adding that the company likely avoided selling a portion of its ownership by acquiring the additional funding.”

– SPECTRUM, ST. GEORGE

Photo credits: Thanks to the University of Utah, Utah State University, Jared Thayne, Layton Construction, vSpring Capital, Governor’s Office of Economic Development, Alan Blakesly, Love Communications, Michael O’Malley and Amanda Smith.

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