

AGENDA

9:00—9:30 a.m.: *Registration and Welcome*

9:30—10:30 a.m. *Pitching Investors and Strategic Partners Without Compromising Your IP*

Cleantech entrepreneurs often seek funding from VCs, angel investors, and strategic partners in order to develop their technologies into marketable products. A major source of anxiety for these entrepreneurs is how to pitch their ideas in sufficient detail to secure funding without giving away valuable intellectual property information. A related issue is the use and enforceability of non-disclosure agreements in this process.

This panel is intended to discuss the dynamics of this process from the perspective of both the entrepreneur and the investor.

Confirmed Speakers: Marc Gottschalk, Partner, Wilson Sonsini Goodrich & Rosati, Co-Founder, Clean Tech Open; Matt Price, Nth Power, San Francisco; Rachel Sheinbein, CMEA Ventures; Bob Cart, Founder and Chairman of the Board, GreenVolts, Inc.; Jordan Breslow, General Counsel, Silver Spring Network. *Moderator:* Marc Gottschalk

10:30—10:45 a.m. *Break*

10:45—12:00 p.m. *Climate Change and Carbon Emissions Trading*

One of the important policy decisions in any greenhouse gas reduction program is the extent to which flexible mechanisms like cap-and-trade will be allowed to complement mandatory reductions. Congress is moving on a bill to establish a national cap-and-trade system for greenhouse gas emissions. A number of emissions trading programs have been tested around the globe, including the European Union's Emissions Trading Scheme and the Kyoto Protocol's Clean Development Mechanism / Joint Implementation program. California is likely to enact a cap-and-trade program, but the system design is still being discussed. And yet, despite the gains expected from these and other programs, climate science suggests that the amount of GHG reductions necessary to avoid the worst effects of climate change cannot be achieved through regulation alone. Many observers believe that substantial reductions will have to occur on a voluntary basis as well.

This panel is intended to address a number of legal and policy issues arising in this context: How do emissions trading programs work? What is the likely shape of a California cap-and-trade program? What are the lessons learned from the EU ETS program and the Kyoto-based programs? How will emissions allowances be allocated? Will the regulated entities be allowed to purchase offsets from emissions reduction projects outside of California? What kind of projects qualify? How can the voluntary market play a role in reaching sources of emissions that are not subject to direct regulation? What is the current state of the voluntary emissions market? What standards govern these transactions to ensure that buyers of emissions offsets can be sure that the reductions are real and permanent? How will any California program interact with regional and national climate change regimes?

Confirmed Speakers: Dr. Alexander Rau, Climate Wedge, Ltd.; Joe Nation, California Air Resources Board Market Advisory Committee; William Sloan, Of Counsel, Morrison & Foerster LLP, San Francisco; Max Dubuisson, Climate Action Reserve. *Moderator:* Brian Orion, Attorney, Environmental Advocates

12:00—1:00 p.m.: *Lunch and Networking*

1:00—2:15 p.m.: ***Licensing Clean Technologies From Research Institutions***

Much of the research and development of new clean technologies is taking place at major research institutions associated with the federal government, universities, and private labs. A major way these technologies are taken to market is through licensing partnerships with Cleantech companies. However, completing a licensing transaction depends on the ability to successfully navigate a licensing process that is often complex and unique to the individual institution involved. For example, when dealing with federal labs like Lawrence Livermore, the process is governed by a federal statute mandating that the process be free, fair, and open, and allowing for only non-exclusive licenses. The process at universities like Stanford is governed by the university's technology transfer office and can require the preparation of different information at each university. And the private labs like the Palo Alto Research Center (PARC) and the Stanford Research Institute (SRI) have their own processes as well.

This panel is intended to clarify this process so that both the parties involved – the entrepreneur and the licensing institution – can make informed decisions about how and when to pursue licensing opportunities.

Confirmed Speakers: Luis Mejia, Senior Associate, Stanford University; Leah Rogers, Lawrence Livermore National Laboratories; Bob Cart, Founder and Chairman of the Board, GreenVolts, Inc.
Moderator: Robin Feldman, Professor of Law, UC Hastings and Director of Law and Bioscience Project

2:15—3:30 p.m.: ***Networking Reception***

3:30 p.m.: ***Adjourn***

CLEANTECH ROUNDTABLE

PANEL BIOGRAPHIES

Panel 1

Pitching Investors and Strategic Partners Without Compromising Your IP

Evan Lee, Master of Ceremony

Evan Lee is the Associate Dean for Research and Professor of Law at UC Hastings College of the Law. Evan became involved with cleantech issues upon becoming the Research Dean. He is hoping to help make Hastings become a leader in the law school world in both the teaching and research ends of cleantech law.

Evan received his A.B. from UC Berkeley and his J.D. from Yale Law School.

Marc Gottschalk, Panelist and Moderator

Marc Gottschalk is a partner in Wilson Sonsini Goodrich & Rosati's real estate and environmental practice and heads the environmental practice. Marc also coordinates the firm's energy and environmental technology practice, focusing on emerging alternative energy companies and companies with environmentally beneficial technologies. He is also a co-founder and board member of the Clean Tech Open, the nation's premier business plan competition for clean technology ventures.

Matt Price

Matt Price is a Senior Associate at Nth Power. He joined the firm in 2007 and looks at a broad range of energy and cleantech investment areas including materials and nanotechnology, fuel cells, biofuels, advanced lighting, and smart grid technologies. Matt is currently active on the boards of OptoElectronix and Propel Biofuels.

Prior to joining Nth Power, Matt was a materials engineer and business development manager for Franklin Fuel Cells. During this time Matt established and ran the company's fuel cell testing capabilities and helped the company raise venture and government funding. Matt also worked for Bloom Energy as a Product Manager.

Matt is a Kauffman Venture Fellow, received his MBA from the Haas School of Business, UC Berkeley, and holds a B.S. in Materials Science and Engineering from Northwestern University. Matt co-founded the Berkeley Energy Resource Collaborative (BERC) and has consulted for several alternative energy companies.

Rachel Sheinbein

Rachel Sheinbein joined CMEA Capital in 2008 and is part of the Energy and Materials team. Before CMEA, Rachel was a consultant for start-ups in the areas of bio-plastics, solar and water treatment. For 9 years prior to consulting, Rachel worked in several positions at Intel Corporation --- as a Chemical Engineer for industrial liquid waste systems, a Program Manager for Environmental Health & Safety, a Purchasing Analyst, and a Strategic Product Manager in the Information Technology group. Rachel currently sits on the board of the Expanding Your Horizons Network, a non-profit that encourages girls in math, science, engineering and technology. She also is an angel investor, focusing on clean technology, and co-chairs the Keiretsu Forum angel's WISE (Women Investing in and Supporting Entrepreneurs) group. In addition, Rachel volunteers in various roles for California Clean Tech Open - a business plan competition that encourages the development of clean technology companies. Ms. Sheinbein holds a Chemical Engineering degree with a concentration in Environmental Engineering from the University of Pennsylvania. Rachel was also a sponsored fellow at the Massachusetts Institute of Technology (MIT) where she received an MBA and a Masters in Civil and Environmental Engineering, with a focus on operations and supply chain.

Bob Cart

Before founding GreenVolts, Bob spent over 20 years in leadership positions starting with Industrial Cutting Die (ICD), a precision machine tool manufacturer. As its CEO, and later board member, Bob was responsible for all facets of the business which led to its later sale to Enefco International. He later became Senior VP of Product & Brand Management for 1st Financial Bank USA and President of its 1FB.net subsidiary. Bob was VP of Engineering for Cybergold, where he helped lead that company to its \$174 million IPO. Bob was inspired to invent the company's patent-pending CarouSol concentrating PV technology while on an 18 month Pacific ocean voyage. The technical challenges of living off the grid in a brutal ocean environment helped drive the efficiency and reliability of the GreenVolts technology design. Bob's vision, leadership, and technical expertise are helping GreenVolts reach its mission to deliver the world's lowest cost solar energy solution on a massive scale.

Jordan Breslow

Jordan Breslow is General Counsel of Silver Spring Networks, a smart grid network provider. Jordan has more than 28 years of experience guiding technology companies through complex legal and business transactions. Before joining Silver Spring, Jordan served as Vice President and General Counsel of two highly successful private-to-public technology companies, and as a technology law partner in private law firms. Jordan earned his J.D. from Hastings in 1980 and his B.A. *summa cum laude* from San Francisco State University.

Panel 2

Climate Change and Carbon Emissions Trading

Alex Rau

Alex Rau is a founding partner of Climate Wedge Ltd, an independent firm providing carbon finance and emissions trading related advisory and asset management services, and pursuing principal investments and project development in the carbon markets. Alex has over eight years of experience in carbon finance, emissions trading, and environmental commodities. He was previously part of the Climate Change Services team in PricewaterhouseCoopers's Energy Corporate Finance practice in London, developing and structuring portfolios of carbon assets during the early stages of the Clean Development Mechanism market as well as designing Kyoto response strategies for multinational corporations. Alex has worked with numerous clients such as Cheyne Capital, McKinsey & Company, Rio Tinto, News Corporation, Electricite de France, the California Public Employees Retirement System (CalPERS), and CSIRO on carbon-related issues. He also coauthored the original version of the Voluntary Carbon Standard, the most widely accepted trading standard for non-Kyoto carbon assets, and has published in journals ranging from Science to the Harvard Business Review. Alex has a Ph.D. in physics from Oxford University and a B.A. from Cornell University.

Joe Nation

Joe Nation directs the graduate student practicum in public policy at Stanford University, where he teaches climate change, health care policy, and public policy. He is also a Principal at Climate Action Partners, where he provides carbon advisory services, decarbonization project development and management, offset portfolio management, community renewable energy assessment and data analysis for multiple clients.

Nation was recently appointed by Governor Schwarzenegger to the Allocation Advisory Committee, which will establish the carbon allocation guidelines for the state's cap and trade carbon system. He previously served on California's Market Advisory Committee, which recommended a design for the market for greenhouse gas emissions trading.

Nation represented Marin and Southern Sonoma Counties in the California State Assembly from 2000-2006. During his tenure, Nation authored nearly 50 bills that were enacted into law. Nation was the principal co-author of AB 32, California's Global Warming Solutions Act.

Nation earned a B.A. in Economics, German and French at CU, and subsequently a Masters in Foreign Service from Georgetown University, where he graduated with honors. He received a Ph.D. in Public Policy Analysis from the Pardee RAND Graduate School.

William Sloan

William Sloan is Of Counsel with the global law firm Morrison & Foerster LLP in its San Francisco office. He co-chairs the Environmental Group's carbon team and serves on the firm's Cleantech Steering Committee. Over the span of a decade, Bill has represented domestic and international clients on matters involving natural resource and emission management, regulation, and litigation, with a particular focus on climate change, energy, and water resources. He has advised clients on carbon offset generation projects and emission reduction purchase agreements, both under the Clean Development Mechanism of the Kyoto Protocol and in the voluntary offset marketplace. His work has spanned North America, South America, Europe, Asia, and Africa. During his career, he has developed extensive compliance, permitting, and litigation experience involving the Clean Air Act, Clean Water Act, and other environmental statutes. He received his B.A. from Princeton University and his J.D. from UC Hastings College of the Law.

Max DuBuisson

Max DuBuisson has worked in Business Development for the Climate Action Reserve since November of 2008. Prior to joining the Reserve, he worked for Infinity Wind Power in Santa Barbara, as well as Pacific Gas & Electric in San Francisco. He holds a Master's in Environmental Science and Management from UC Santa Barbara, where he studied Eco-Entrepreneurship and Corporate Environmental Management. His group thesis business plan for a green modular housing company took top honors in two competitions, and he co-authored a paper on a framework for evaluating environmental claims of new ventures. Originally from North Carolina, Max also holds a Bachelor's degree in Biology from Davidson College.

Brian Orion, Moderator

Brian Orion is an attorney with Environmental Advocates in San Francisco. His practice focuses on representing non-profit organizations in state and federal environmental litigation under the Clean Air Act, Clean Water Act, Endangered Species Act, and National Environmental Policy Act. Prior to his current position, Mr. Orion was a litigation associate at Morrison & Foerster LLP in San Francisco. Mr. Orion graduated, *cum laude*, from the University of California, Hastings College of the Law in 2005, where he was selected to join the Thurston Society and the law review. Mr. Orion graduated, *magna cum laude*, with a B.A. in Political Science from Cal Poly, San Luis Obispo in 2002.

Panel 3

Licensing Clean Technologies from Research Institutions

Luis R. Mejia

Mr. Mejia is a Senior Associate in the Office of Technology Licensing at Stanford University. He manages a portfolio of technologies ranging from biotech to cleantech. In his 20 years at Stanford, he has managed three major patent litigations, negotiated over 200 licenses, and evaluated over 600 inventions, including the PageRank Algorithm which was the instrumental IP that led to the creation of Google. Mr. Mejia has been an advisor to Silicon Valley start-ups, Los Alamos National Laboratory, Monterey Bay Aquarium Research Institute and is a Board Member of the Stanford University OTL, LLC. Mr. Mejia received his engineering degree in Energy Systems from Arizona State University and is a Certified Licensing Professional. Prior to joining Stanford he worked on solar energy systems and energy conservation at Honeywell and Pacific Gas & Electric.

Leah Rogers

Leah Rogers is currently a Business Development Executive for Lawrence Livermore National Laboratory in Livermore, California. She is responsible for licensing, collaborative research and strategic patenting relating to LLNLs energy, climate change, environmental and computational portfolios. Leah received her Ph.D. in Earth Sciences from Stanford University in 1992 and previously worked as a research hydrogeologist specializing in optimal groundwater cleanup. Her particular interests in greentech focus on water and carbon management.

Robin Feldman, Moderator

Robin Feldman is a Professor of Law at UC Hastings College of the Law. She specializes in Law and Science and is the Director of Hastings' [Law and Bioscience Project](#) (LAB Project). Professor Feldman's first book, *The Role of Science in Law*, was published by Oxford University Press in 2009. Her second book, *Rethinking Patent Law* is forthcoming from Harvard University Press. Her articles have appeared in journals at law schools including Georgetown, Stanford, Texas, USC, UCLA and Virginia. In addition, Professor Feldman's piece, *Patent and Antitrust: Differing Shades of Meaning*, was judged one of the best intellectual property articles published in the United States in 2008. Professor Feldman also sits on the Executive Committee of the Antitrust Section of the American Association of Law Schools and is a member of the American Philosophical Association.