

SB

173

SFIN

FILE

SENATE FINANCE COMMITTEE REPORT First Committee of Referral

DATE: 4/4/03

REPORTED OUT

FURTHER:

Date of 5-Day Notice: _____
(in accordance with Uniform Rule 23)

APR 28 2003

DATE TURNED IN TO OFFICE: 4/28/03

SENATE FINANCE
COMMITTEE

Finance Committee considered

SENATE BILL NO. 173

SB 173 SCIENCE & TECH FOUNDATION/BIDCO/INT.TRADE

"An Act repealing statutes pertaining to the Alaska Science and Technology Foundation and transferring money in the foundation's endowment; repealing statutes relating to the BIDCO assistance program; repealing statutes pertaining to the international trade and business endowment and transferring money in the international trade and business endowment; transferring oversight administration of outstanding Alaska Science and Technology Foundation loans and grants to the Alaska Industrial Development and Export Authority; establishing an Alaska BIDCO assistance program to be administered by the Department of Community and Economic Development; making conforming amendments; and providing for an effective date."

and recommends:

be replaced with _____ CS _____ (_____)

adopt previous _____ CS _____ (_____)

attached amendment(s)

adopt Letter of Intent by _____ Committee

further referral to _____ Committee

Senate Bill:

same title

new title

House Bill:

same title

technical title

new: SCR # _____

NEW FISCAL NOTE(S):

Department	Date	Fiscal	Zero	FN#
DCED AIDEA	4/8/03	75.5		

PREVIOUS FISCAL NOTE(S):

Department	Date	Fiscal	Zero	FN#
DCED AK SCIENCE	3/21/03		X	1

APPROPRIATION - no fiscal note

SIGNATURES AND RECOMMENDATIONS:	DO PASS	DO NOT PASS	NO REC	AMEND
<i>[Signature]</i>			✓	
<i>[Signature]</i>			✓	
<i>[Signature]</i>			✓	
<i>Ben Steens</i>	✓			
COCHAIR: <i>Lynda Green</i>	✓			
COCHAIR: <i>Conny Heiler</i>	✓			

FISCAL NOTE

**STATE OF ALASKA
2003 LEGISLATIVE SESSION**

APR 28 2003

SENATE FINANCE
COMMITTEE

Fiscal Note Number: 1
 Bill Version: SB 173
 (S) Publish Date: 4/4/03

Revision Date/Time (Note if correction): _____ Dept. Affected: DCED
 Title ASTF Elimination BRU AK Science & Technology Foundation (128)
 Component AK Science & Technology Foundation
 Sponsor Governor Component No. 2012
 Requester Rules by Request of the Governor

Expenditures/Revenues (Thousands of Dollars)

Note: Amounts do not include inflation unless otherwise noted below

OPERATING EXPENDITURES	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Personal Services	0.0					
Travel	0.0					
Contractual	0.0					
Supplies	0.0					
Equipment						
Land & Structures						
Grants & Claims	0.0					
Miscellaneous						
TOTAL OPERATING	0.0	0.0	0.0	0.0	0.0	0.0

CAPITAL EXPENDITURES						
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CHANGE IN REVENUES ()	0.0					
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FUND SOURCE (Thousands of Dollars)

1002 Federal Receipts						
1003 GF Match						
1004 GF						
1005 GF/Program Receipts						
1037 GF/Mental Health						
Other (Statutory Designated)	0.0					
Other (Science & Tech Endowment)	0.0					
TOTAL	0.0	0.0	0.0	0.0	0.0	0.0

Estimate of any current year (FY2003) cost: 10,608.6

Mark this box (X) if funding for this bill is included in the Governor's FY 2004 budget proposal:

POSITIONS

Full-time						
Part-time						
Temporary						

ANALYSIS: (Attach a separate page if necessary)

This legislation repeals the statutes relating to the Alaska Science and Technology Foundation (ASTF) and its programs, including the BIDCO assistance program; transfers oversight of the former ASTF programs to the Alaska Industrial Development and Export Authority; and establishes a replacement Alaska BIDCO assistance program in the Department of Community and Economic Development. This legislation eliminates the Alaska Science and Technology Endowment as of June 30, 2003. Subject to an appropriation in the FY04 operating budget bill, the balance of the Endowment (estimated at \$89 million) will be transferred to the General Fund. This legislation also eliminates the International Trade & Business Endowment and subject to an appropriation in the FY04 operating budget bill, the balance (estimated at \$4.4 million) will be transferred to the General Fund.

Prepared by: Tom Lawson, Director Phone 907-465-2505
 Division: Administrative Services Date/Time 3/21/03 1:32 PM
 Approved by: Edgar Blatchford, Commissioner Date 3/21/2003
 Agency: Department of Community & Economic Development

FISCAL NOTE

STATE OF ALASKA
2003 LEGISLATIVE SESSION

REPORTED OUT
APR 28 2003

Fiscal Note Number: _____

Bill Version: SB173

() Publish Date: _____

Revision Date/Time (Note if correction): _____

Dept. Affected: DCED

Title: Science & Tech Foundation/BIDCO/Int:Trade

BRU: AIDEA (125)

Component: AIDEA

Sponsor: Rules by Request of the Governor

Requester: Senate Finance

Component No.: 1234

Expenditures/Revenues (Thousands of Dollars)

Note: Amounts do not include inflation unless otherwise noted below.

OPERATING EXPENDITURES	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Personal Services	75.5					
Travel						
Contractual						
Supplies						
Equipment						
Land & Structures						
Grants & Claims						
Miscellaneous						
TOTAL OPERATING	75.5	0.0	0.0	0.0	0.0	0.0

CAPITAL EXPENDITURES						
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CHANGE IN REVENUES (1004)						
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FUND SOURCE (Thousands of Dollars)

FUND SOURCE	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
1002 Federal Receipts						
1003 GF Match						
1004 GF	75.5					
1005 GF/Program Receipts						
1037 GF/Mental Health						
Other (Specify Type--Do not abbreviate)						
TOTAL	75.5	0.0	0.0	0.0	0.0	0.0

Estimate of any current year (FY2003) cost: 0.0

Mark this box (X) if funding for this bill is included in the Governor's FY 2004 budget proposal:

POSITIONS

Position Type	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
Full-time	1					
Part-time						
Temporary						

ANALYSIS: (Attach a separate page if necessary)

This legislation transfers oversight administration of outstanding Alaska Science & Technology Foundation grants to the Alaska Industrial Development & Export Authority. Pursuant to the existing grants, grantees have repayment obligations to the state. The requested funds will pay for one Grants Administrator at a range 20C. This position will administer the outstanding ASTF grants, including analyzing the grants that are in repayment status and the remaining open grants. The grants administrator will determine and then implement the appropriate management procedures for grants that are expected to repay or continue to repay funds under the terms of the ASTF grant agreements.

As of 4/1/03, \$299,345 has been returned to ASTF from 29 grantees. Repayments are based on either royalty income or annual gross revenues related to the funded project. SB173 requires that amounts required to be paid by a grantee under the terms of the respective grant agreement shall be paid into the general fund. In 2002 ASTF received over \$85,000 in grantee repayments. This position will develop an estimate of future grantee repayments.

Prepared by: Sara Fisher-Goad, Financial Analyst

Division: Alaska Industrial Development and Export Authority

Approved by: Edgar Blatchford, Commissioner

Agency: Department of Community & Economic Development

Phone: 907.269.4623

Date/Time: 4/8/03 4:05 PM

Date: 4/8/2003



Personalized Service by Experienced Alaskans

We understand the unique challenges facing Alaskan businesses.

Founding President/CEO David Hoffman has been an Alaskan leader in business and economic development for 29 years. He has managed businesses, ranging from start-ups to a corporation with annual sales of \$90 million. He is the former Commissioner of the Alaska Department of Community and Regional Affairs and has been a consultant to businesses throughout the country.

Development Officer and Business Consultant Jason Evans is an Inupiaq from Nome. He has worked throughout Alaska as a business consultant and project manager. Loan Closer/Administrator Carrie Couey has 15 years of Alaskan experience in all aspects of lending. She is also a paralegal. Executive Assistant Alice Ahmaogak Glenn ("Kannik") is an Inupiaq from Barrow who lived in California's Silicon Valley for many years before returning home. She has strong ties to her Inupiaq culture and heritage.

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and
Consulting Services



Alaska Growth Capital - What Are We?

WE FOCUS ONLY ON BUSINESSES

Alaska Growth Capital is a commercial lending institution that is licensed and regulated by the State of Alaska. We can make loans to viable businesses that are deemed "too risky" by banks. We do not accept deposits, do consumer lending, or finance housing projects.

FINANCIAL PRODUCTS

We provide financing for all business needs, including construction lending, lines of credit, permanent working capital, equipment, and leasehold improvements. We participate in the SBA, USDA, and BIA loan guarantee programs.

LOANS AND TERMS

Our loans range from \$100,000 to \$600,000 and normally have terms from three to seven years. Interest rates depend on the risk level of the business. We customize each financing package to meet the unique needs of your business.

CONSULTING SERVICES

We often provide no cost consulting services to our borrowing clients, before and after closing. We also provide strategic planning services on a fee basis to businesses that are not borrowers. Our clients benefit from our affiliation with the 21 subsidiary companies of Arctic Slope Regional Corporation (ASRC). ASRC, the owner of Alaska Growth Capital, is the largest corporation based in Alaska.

WE REACH OUT TO NONTRADITIONAL BORROWERS

Alaska Growth Capital provides a financing alternative to businesses that may have trouble gaining access to traditional bank financing. We can provide stand-alone financing or participate with banks in joint financing. We make a special effort to reach out to businesses that are rural, minority-owned, or technology-oriented.

WE TARGET BUSINESSES THAT ARE EXPANDING ALASKA'S ECONOMY

Alaska Growth Capital can finance any business operation within the state, but we focus on businesses that are expanding Alaska's economy. We are primarily interested in industrial sectors such as manufacturing, resource development and service providers that have the potential to capture business held by out-of-state companies.

VENTURE CAPITAL INVESTMENTS

In addition to lending funds, we can make a venture capital investments in new or rapidly-growing companies. If we can make an equity investment, we must have a clear "exit strategy" that allows us to get our money back once the client company has achieved its financial goals.

THE APPLICATION PROCESS

Call today for a loan application or download the application from our website. Once you provide the required information, we can quickly make a decision on whether you qualify for a loan.

Alaska Growth Capital seeks to work with healthy companies that have the potential for significant growth and profitability. The primary criteria we consider are the following:

- ☑ Dedicated and experienced management
- ☑ Past performance
- ☑ Current economic viability of the business
- ☑ Potential for future growth in sales and profits
- ☑ Competitive advantages such as proprietary technology, technical superiority, unique skills or special access to a specific resource or market

If you want your company to grow with the help of Alaska Growth Capital contact us at:

(907) 349-4904 or 1-888-315-4904

E-mail us at: info@alaskagrowth.com
or check our website at: www.alaskagrowth.com

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A L A S K A
Growth  Capital

Subject: Alaska Science & Technology Foundation

Formed in 1988, by Governor Steve Cowper promising the Foundation would enable Alaska to be **the world leader in arctic research**.¹ Since its start with a \$106,000,000 endowment, ASTF has been promoted as an economic engine and job creator for the state. Among other things, it issues what is categorized on its web site as entrepreneur and teaching grants.

If the entrepreneur grants result in a commercialized product than the grant recipient is obligated to make repayments to ASTF. 359 entrepreneur grants are listed on ASTF's web site www.astf.org. \$29,6 million have been spent by ASTF on 81 projects that are expected to generate repayments to the state. Of these 81, only 29 are actually making repayments and the total amount of payments received since program inception in 1988 is approximately \$299,345².

A review of ASTF's web site and its annual reports reflects the following:

1. ASTF has issued entrepreneur grants to people and institutions in:

- Brazil
- British Columbia
- Nova Scotia

- California
- District of Columbia
- Florida
- Maryland
- Massachusetts
- Minnesota
- Nevada
- New Hampshire
- New York
- Oklahoma
- Oregon
- Vermont
- Washington
- Wisconsin

2. Grants classified as "entrepreneur grants" have been issued to:

- U.S. Army
- National Marine Fisheries Service
- Alaska DEC
- Alaska Dept. of Public Safety
- Alaska Dept. of Education

¹ "Anchorage Daily News" May 14, 1988, page B6.

² Please see attached spreadsheet based on information received from ASTF staff.

- Alaska Dept. of Fish & Game
- Municipality of Anchorage
- Anchorage School District
- University of Alaska—Fairbanks, Anchorage & Juneau campuses

3. Over \$6,000,000 in "entrepreneur" grants are listed on the web site without published results, including some grants issued over 12 years ago.

4. ASTF has been used as a supplemental means of funding University of Alaska operations and research outside the normal general funds appropriation processes. Operations were funded by legislature-directed appropriations of ASTF funds totaling \$13.7 million during the period 1997-2003. Additionally, approximately \$7,000,000 in "entrepreneur" grants have been issued by ASTF to University of Alaska staff for research, ostensibly through the competitive application process. Some grants were issued to University departments and some issued to individual professors. Some of those issued to individual professors were issued to the professors' private business but list a University telephone and email for contact.

5. QUESTIONABLE PROJECTS. (Numbers are ASTF's grant designations.)

\$1,121,426 to a UCLA Professor to commercialize a radioactive waste treatment technology that had been patented by the professor. #91-2-060
Alaska doesn't have a radioactive waste problem and the funds were used to supplement funding the professor received from Westinghouse-Hanford.

\$17,341 for a drug addict needle exchange program in Anchorage. #96-3-056.

\$197,233 to investigate use of North Slope wild grass to keep Canada geese away from Anchorage. #98-2-090.

\$233,949 to convince Alaskans to stop smoking. #94-4-128/#99-3-102.

\$20,000 to Louisiana State University to develop a plan for the University of Alaska to better transfer technology to the private sector. #91-2-070

\$44,299 for a workshop for Russian nuclear plant workers. #97-1-079.

\$232,889 to manufacture yurts in Nome that would be shipped to Southcentral Alaska for assembly. The grant recipient promised to create a new industry and jobs in Nome. The recipient never manufactured yurts in Nome: with the ASTF money, he opened a shop in Homer where he makes and sells yurts. #97-1-060/#98-4-121.

\$646,620 to a Maryland firm to design and develop a small satellite launch vehicle that was never developed. #91-1-057.

\$111,195 to manufacture bows and arrows in Alaska. 91-2-069

\$100,000 to the University of Alaska/Fairbanks to develop construction materials using vegetable oil. Alaska doesn't produce vegetable oil. #00-2-054.

\$40,568 to cross breed wild pigs with domestic pigs. #97-1-001.

\$2,252,000 to a resident of Washington State to develop a machine to remove pin-bones from salmon. #97-1-004. The grant recipient had never developed fish processing equipment before and the machine produced fillets that were not acceptable to the market. The grant was made at the time that the firm Carnitech was already producing and selling state of the art pin-bone removal machines.

\$232,439 to the University of Alaska Southeast to study how to increase pink salmon returns to hatcheries. #90-1-040. Do we need more pink salmon?

\$207,292 to a University of Alaska Anchorage professor to study the acceptability of composting toilets in rural Alaska. #92-2-083/#96-2-0212. Composting toilets have been in use in rural Alaska since the 1970's which would seem to indicate that they are acceptable.

\$960,000 to an Anchorage company to cut and bag vegetables for sale in the local market. The grant was justified with the claim that it would develop new technology to handle the unique characteristics of Alaska vegetables. Vegetables are vegetables, and Alaska vegetables are available only 3 months a year which means the company is processing imported vegetables 9 months a year with the same equipment. Is vegetable packaging "cutting edge" technology?

6. Projects that demonstrate a lack of due diligence by ASTF.

\$78,338 to study over-wintering bees in Alaska. #89-1-217. This same issue was studied under the Hammond administration program's resource development grant program. The latest study has not led to any measurable increase in honey production in Alaska.

\$399,622 in 1999 to a Fairbanks company to build composite shelters. One of the principals of the Fairbanks company had filed Chapter 7 bankruptcy years prior to getting the ASTF grant. Since receiving the ASTF funds the company has sold 11 shelters: all of which were manufactured outside Alaska. #99-1-102.

\$1,037,346 to Scott Thompson (from Nevada) who promised to build cutting edge energy systems in rural Alaska but tried to sell milk tanks for use as fuel tanks in bush Alaska and left unpaid debts all over the state.

Even an internal ASTF audit in 1997 concluded they had wasted \$millions and that a more thorough review of applications would have resulted in rejection of 20% of the projects they had funded.³ This begs the question of why weren't the applications subjected to thorough review before the money was granted?

7. ASTF made grants to agencies that issue grants, essentially increasing the administrative costs for a project.

Example

\$496,200 in grants to the Alaska Fisheries Development Foundation a foundation that itself, issues grants for fishery development projects and is funded by federal funds.

8. ASTF duplicated the work of other organizations.

Examples

\$408,506 for fish marketing projects that should be funded by ASMI.

\$201,000 to the Univ. of Alaska to improve pink salmon management. #90-1-008. This is the function of ADF&G.

9. ASTF grants have been made to the University of Alaska that were actually subsidies for graduate thesis projects.

10. Some of ASTF's claims seem to be overstated.

Claims have been made that ASTF is responsible for delivering \$150 million in benefits to the surimi industry on Kodiak by underwriting the development and demonstration of new equipment. In fact, the equipment (a decanter) had already been developed and produced by Alfa Laval and ASTF actually spent \$150,708 to subsidize Alfa Laval's sales demonstration on Kodiak. The industry would have purchased the equipment without ASTF's involvement.

ASTF also claims that it is responsible for the success of the Alaska shellfish mariculture industry which it values at \$200 million annually. ASTF has assisted the industry, but it was in existence and producing value prior to ASTF's existence and is only producing less than \$1 million in products annually according to the Alaskan Shellfish Growers Association.

Note: The Anchorage Daily News (ADN) editorial combined these inflated numbers when it claimed that ASTF's work was on the verge of delivering \$350 million in returns to the Alaska fishing industry.⁴

³ "Anchorage Daily News", page C1, February 9, 1997

⁴ "Anchorage Daily News", Opinion, March 15, 2003

Also note that the ADN editorial claims that Pat Simpson's company, Scientific Fishery Systems, Inc. would not have opened in Anchorage Without a \$65,000 grant from ASTF. Actually, ASTF gave Simpson \$165,000 that was used to get \$1.2 million in grants from the federal government.⁵

Highly publicized grants went to companies that moved their businesses out of Alaska. E.G., Autogenesis received \$250,000 from ASTF and is now doing business in Baltimore, MD and Grant#98-2-082 for \$380,207 to a company to make glass tiles in Fairbanks that is now operating out of Boise, Idaho.

11. ASTF's recent actions weigh against continuing the program.

On Feb. 12, 2003 ASTF's Board passed a resolution authorizing the initiation of a "Conversion Credit" program that would forgive 2/3's of any repayment obligation grant recipients have. The criteria for granting reduction credits are vague and difficult to quantify and would be the subject of personal interpretation by ASTF staff. ASTF staff have long taken the position that the measurement of success for their projects is not a return to the general fund.

Attached is a spread sheet that demonstrates the maximum potential impact of the Conversion Credit program. Assuming all repayment projects repay the obligated amount, the state could eventually receive \$39.6 million from these projects. If the Conversion Credit program were implemented, the state could receive a maximum of \$13 million. (These numbers are based on information supplied by ASTF.)

****NOTE: As of April 14, 2003 ASTF has decided to put its Conversion Credit plan on hold.**

Conclusion:

After 15 years and the expenditure of over \$100 million the state is no closer to being the **world leader in arctic research**. What is the connection among yurt making, bow & arrow manufacturing, composting-toilet use, smoking prevention, clean needles for drug addicts, wild pig breeding and arctic research?

⁵ ASTF web site, "Anchorage SBIR Bridging Grant".

Open/	Closed	Type	Status	Grant #	Grantee	Final Report Received	Total Grant Amt	Total Paid to Grantees	% of Grant Paid	Grant Balance	50% Grant Balance of those > %	Equip Budget	Equip spent	Equip balance	1.5% Grant Amt	Potential Repayments to the State General Fund	Balance Due from Conversion Credits
							Amt	Grantee 4/1/03	% of Grant Paid	Grantee 4/1/03	of those > %					Total Pd by Grantee as of 4/1/03	Balance Due from those paying
C	G	G		1 99-3-1065	Dan Bionacci		14,000.00	14,000.00	100%						21,000.00	20,959.00	6,959.00
C	G	G		3 99-2-091	John Gaudy		18,000.00	18,000.00	100%						27,000.00	26,928.00	8,928.00
C	G	G		1 97-2-0905	Loi Dilly		14,110.00	14,110.00	100%						21,165.00	21,090.00	6,999.00
C	G	G		1 96-1-0095	Jail Weibin		19,835.00	19,835.00	100%						29,752.50	29,529.50	9,599.50
C	G	G		1 98-2-090	Peter Scopu		197,232.00	197,232.00	100%						295,848.00	295,541.00	98,309.00
C	G	G		1 94-1-0035	Lawrence Bennett		19,198.00	19,198.00	100%						28,797.00	28,480.00	9,282.00
C	G	G		1 98-1-069	Mike Cook		200,832.00	200,832.00	100%						300,914.00	300,914.00	100,082.00
C	G	G		2 97-1-0632	Loi Holingham		160,344.00	160,344.00	100%						240,138.00	240,138.00	79,794.00
C	G	K		4 92-4-2375	Koven Charts		18,887.00	18,887.00	100%						29,830.50	29,330.50	9,443.50
C	G	G		1 96-4-114	Duane Wagner		70,203.00	70,203.00	100%						105,304.50	104,754.50	34,551.50
C	G	G		1 96-3-0575	Don Pelegrin		16,151.00	16,151.00	100%						24,225.00	23,266.50	7,115.50
C	G	R		1 94-1-004	William Watson		29,866.00	29,866.00	100%						44,799.00	43,792.00	13,562.00
C	G	R		1 96-4-085	William Wiebe		99,500.00	99,500.00	100%						149,250.00	148,062.00	48,562.00
C	G	R		3 95-1-0112	William McClintock		202,808.00	202,808.00	100%						304,212.00	302,883.00	100,075.00
C	G	R		1 98-1-002	Florence VonFinel		250,000.00	250,000.00	100%						375,000.00	372,876.00	122,876.00
C	G	G		1 99-2-078	Patrick Simpson		279,365.00	279,365.00	100%						419,047.50	416,830.50	137,465.50
C	G	G		1 96-1-007	Duff Mitchell		182,367.00	182,367.00	100%						273,550.50	271,081.50	88,714.50
C	G	G		1 95-4-120	Dana Wagner		20,000.00	20,000.00	100%						30,000.00	28,846.00	8,846.00
C	G	R		1 96-1-0105	Randy Prator		279,934.00	279,934.00	100%						419,901.00	416,333.00	136,389.00
C	G	R		1 92-2-089	Gour Choudhury		286,808.00	286,808.00	100%						433,212.00	429,317.00	140,509.00
C	G	R		1 95-4-1262	Bart Gieber		124,721.00	124,721.00	100%						187,081.50	182,217.50	57,496.50
C	G	R		1 91-1-037	Scott Henderson		139,817.00	139,817.00	100%						209,725.50	204,055.50	64,278.50
C	G	G		1 97-1-075	Larry Coner		55,965.00	55,965.00	100%						83,947.50	78,060.50	22,095.50
C	G	G		1 95-3-1043	Patrick Simpson		436,815.00	436,815.00	100%						655,222.50	646,356.50	209,541.50
C	G	S		1 95-1-0142	Peter Zimmerman		65,000.00	65,000.00	100%						97,500.00	84,304.00	19,304.00
C	G	G		1 94-4-1218	Patrick Simpson		588,534.00	588,534.00	100%						897,801.00	883,475.00	284,941.00
C	G	G		1 97-4-152	Brian Progers		220,073.00	220,073.00	100%						330,109.50	320,109.50	50,000.00
C	G	R		1 96-4-115k	Dusty Kalar		323,117.00	323,117.00	100%						484,675.50	476,980.50	169,950.50
C	G	G		1 99-2-097	Tim Newton		117,987.00	117,987.00	100%						176,980.50	176,980.50	69,950.50
C	G	G		2 00-3-0045	John Mickelson		10,795.00	10,795.00	100%						16,192.50	16,192.50	5,397.50
C	G	G		1 01-1-003	John Slegers		70,396.00	70,396.00	100%						105,594.00	105,594.00	35,198.00
C	G	G		2 89-1-172	Clint Elston		99,500.00	99,500.00	100%						149,250.00	149,250.00	49,750.00
C	G	R		2 89-2-284	Gerald Myers		214,886.00	214,886.00	100%						322,329.00	322,329.00	107,443.00
C	G	R		1 91-2-060	Alfred Wong		1,121,436.00	1,121,436.00	100%						1,682,139.00	1,667,792.50	560,713.00
C	G	R		1 91-2-063	Jack Harrison		111,195.00	111,195.00	100%						166,792.50	166,792.50	55,597.50
C	G	R		2 94-3-192	Jack Harrison		175,000.00	175,000.00	100%						262,500.00	262,500.00	87,500.00
C	G	R		2 94-3-2305	John Bottoms		17,529.00	17,529.00	100%						26,293.50	26,293.50	8,764.50
C	G	R		2 92-4-2603	Marquita Walker		20,000.00	20,000.00	100%						30,000.00	30,000.00	10,000.00
C	G	R		2 92-4-277	Scott Thompson		249,438.00	249,438.00	100%						374,157.00	374,157.00	124,719.00
C	G	R		2 93-4-1065	William Wiebe		20,791.00	20,791.00	100%						31,186.50	31,186.50	10,395.50
C	G	R		2 93-4-1333	Jesse Owens		18,746.00	18,746.00	100%						27,912.00	27,912.00	9,304.00
C	G	R		1 94-1-001	Peter Zimmerman		88,500.00	88,500.00	100%						132,750.00	132,750.00	44,250.00
C	G	R		2 94-1-009	Frederic Brown		84,840.00	84,840.00	100%						127,260.00	127,260.00	42,420.00
C	G	R		2 94-1-027	Scott Thompson		81,167.00	81,167.00	100%						121,750.50	121,750.50	40,583.50
C	G	R		2 94-2-029	Hsing Kuang Lin		71,835.00	71,835.00	100%						107,752.50	107,752.50	35,917.50
C	G	R		2 94-2-0753	Duans Andress		20,731.00	20,731.00	100%						31,096.50	31,096.50	10,365.50
C	G	R		2 94-2-0185	Randolf Brand		26,564.00	26,564.00	100%						39,846.00	39,846.00	13,282.00
C	G	R		2 94-2-0785	Robert Crosby		13,101.00	13,101.00	100%						40,210.50	40,210.50	13,403.50
C	G	R		2 94-3-1065	Don Peterson		26,807.00	26,807.00	100%						83,632.00	83,632.00	27,884.00
C	G	R		1 95-1-031	Joseph Imlich		55,768.00	55,768.00	100%						83,632.00	83,632.00	27,884.00
C	G	R		2 95-3-0945	Vickie Talbot		20,000.00	20,000.00	100%						30,000.00	30,000.00	10,000.00
C	G	R		2 95-3-0985	David Lappi		18,000.00	18,000.00	100%						27,000.00	27,000.00	9,000.00
C	G	R		2 95-3-103R	Patrick Simpson		50,000.00	50,000.00	100%						75,000.00	75,000.00	25,000.00
C	G	R		2 96-3-0815	Brent Shaller		19,100.00	19,100.00	100%						28,650.00	28,650.00	9,550.00
C	G	R		2 96-3-065	Ray Wadsworth		45,000.00	45,000.00	100%						67,500.00	67,500.00	22,500.00
C	G	R		2 96-3-0655	David Smith		20,000.00	20,000.00	100%						30,000.00	30,000.00	10,000.00
C	G	R		2 96-4-0788	Loi Holingham		17,889.00	17,889.00	100%						26,833.50	26,833.50	8,944.50
C	G	R		2 97-1-0242	Ray Wadsworth		2,252,184.00	2,252,184.00	100%						3,378,276.00	3,378,276.00	1,126,092.00
C	G	R		2 97-1-0525	Diana McLein		20,000.00	20,000.00	100%						30,000.00	30,000.00	10,000.00
C	G	R		1 97-1-053	Marc Jones		401,832.00	401,832.00	100%						602,448.00	602,448.00	200,816.00
C	G	R		2 97-1-054	David Holman		3,000,685.00	3,000,685.00	100%						4,501,027.50	4,501,027.50	1,500,342.50
C	G	R		1 97-1-060	Leo Tenhoff		50,889.00	50,889.00	100%						76,348.50	76,348.50	25,449.50
C	G	R		2 97-1-0623	Vickie Talbot		75,645.00	75,645.00	100%						113,467.50	113,467.50	37,822.50
C	G	R		1 97-3-122	Scott Thompson		706,744.00	706,744.00	100%						1,060,116.00	1,060,116.00	353,372.00
C	G	R		2 97-3-134	Kirk Shudaskar		200,000.00	200,000.00	100%						300,000.00	300,000.00	100,000.00
C	G	R		2 97-4-140	David Smith		80,000.00	80,000.00	100%						120,000.00	120,000.00	40,000.00
C	G	R		1 98-1-0745	Dawn Scanzonaki		380,207.00	380,207.00	100%						570,310.50	570,310.50	190,103.50
C	G	R		2 98-2-082	Trent Haidenbuch		403.00	403.00	100%						604.50	604.50	201.50
C	G	R		2 98-2-083	Walter Gore		960,000.00	960,000.00	100%						1,440,000.00	1,440,000.00	480,000.00
C	G	R		1 98-4-117	Maik Sines		79,974.00	79,974.00	100%						119,961.00	119,961.00	

Open/	Closed	Type	Status	Grant #	Grantee	Final Report Received	Total Grant Amt	Status of Grant Funds Paid to Grantees	50% Grant Balance of those >=	Equipment Budget Information	Potential Repayments to the State General Fund	Balance Due w/ Contingency Credits				
							Total Grant Amt	Total Paid to Grantees	% of those >=	Equip Budget	Equip spent	Equip balance	Total Paid by Grantee	Balance Due to those paying	Balance Due w/ Contingency Credits	
C	G			1	99-1-012	Gerald Meyers	399,622.00	399,622.00	100%				599,433.00	599,433.00	199,811.00	
C	S			2	99-1-054	Raymond Robbins	352,248.00	352,248.00	100%				528,372.00	528,372.00	176,124.00	
C	C			2	99-1-076S	Barry Creighton	29,357.00	29,357.00	100%				44,035.50	44,035.50	14,678.50	
C	C			2	99-2-072S	Larry Rivers	18,824.00	18,824.00	100%				28,236.00	28,236.00	9,412.00	
C	C			2	99-2-092A	Scott Thomas	212,027.00	212,027.00	100%				318,040.50	318,040.50	106,013.50	
C	C			2	99-2-093	Lisa Johnson	54,500.00	54,500.00	100%				81,750.00	81,750.00	27,250.00	
C	C			1	99-2-094	Kay Slack	43,983.00	43,983.00	100%				65,974.50	65,974.50	21,991.50	
C	S			2	99-3-100A	Con Rossat	200,000.00	200,000.00	100%		140,792.00	103,034.00	37,758.00	300,000.00	100,000.00	
C	C			1	99-3-110	Mark Pearson	450,000.00	450,000.00	100%					675,000.00	675,000.00	225,000.00
C	C			2	99-4-115	Mike Shelton	37,000.00	37,000.00	100%					55,500.00	55,500.00	18,500.00
C	C			2	99-4-118S	Henry Cole	20,000.00	20,000.00	100%					30,000.00	30,000.00	10,000.00
C	C			2	99-4-119	Mark Buckley	355,995.00	355,995.00	100%					533,857.50	533,857.50	177,862.50
C	C			1	99-4-122	Tim Veenstra	104,023.00	104,023.00	100%					156,034.50	156,034.50	52,011.50
C	C			1	00-1-001	Kenneth Hanson	160,000.00	142,000.00	89%	7,500.00	50,500.00	58,500.00	213,750.00	213,750.00	71,250.00	
C	C			00-1-002			577,573.00	550,981.00	95%	126,592.00	173,630.00	826,471.50	270,000.00	270,000.00	90,000.00	
C	C			00-1-042			196,500.00	180,000.00	91%	196,592.00	173,630.00	265,275.00	228,607.50	228,607.50	88,435.00	
C	C			1	00-1-050	David Lawrence	174,181.00	152,405.00	87%	21,776.00	14,424.00	14,424.00	206,000.00	206,000.00	74,500.00	
C	C			2	00-1-052	Raymond Lachern	465,300.00	448,700.00	97%	318,600.00	27,200.00	36,024.00	(8,824.00)	110,400.00	110,400.00	36,800.00
C	C			2	00-2-054	Luffi Reed	190,700.00	137,304.00	72%	53,396.00	20,000.00	12,220.00	7,780.00	205,956.00	205,956.00	68,635.00
C	C			1	00-2-055		425,000.00	375,000.00	88%	50,000.00	314,000.00	274,217.00	562,500.00	562,500.00	187,500.00	
C	C			1	00-2-058	Dennis Crews	67,219.00	61,487.00	91%	6,732.00			77,245.50	77,245.50	25,745.50	
C	C			00-3-063			91,230.00	55,468.00	61%	35,744.00			83,229.00	83,229.00	27,743.00	
C	C			00-3-067			20,000.00	12,250.00	61%	7,750.00			18,375.00	18,375.00	6,125.00	
C	C			00-3-076S			84,045.00	38,015.00	45%	1,300.00			57,022.50	57,022.50	19,007.50	
C	C			00-3-071			13,000.00	11,700.00	90%	1,300.00			17,350.00	17,350.00	5,650.00	
C	C			1	01-2-042S	Al Kogler	85,000.00	76,500.00	90%	8,500.00	21,500.00	19,000.00	114,750.00	114,750.00	38,250.00	
C	C			01-2-047F			147,000.00	45,000.00	31%	318,000.00	2,000.00	2,000.00	67,500.00	67,500.00	22,500.00	
C	C			02-4-028			500,000.00	125,000.00	25%	9,000.00	8,400.00	8,400.00	187,500.00	187,500.00	62,500.00	
C	C			02-4-029			69,988.00	21,000.00	30%	48,988.00	9,000.00	9,000.00	31,500.00	31,500.00	10,500.00	
C	S			91-2-118	Richard Sorell	316,103.00	300,998.00	95%	15,805.00	162,316.00	173,234.00	(10,918.00)	450,447.00	450,447.00	150,149.00	
C	S			91-2-112		303,351.00	215,768.00	71%	87,585.00			323,649.00	323,649.00	107,883.00		
C	S			96-2-055		4,250,000.00	861,009.00	20%	3,388,991.00	161,823.00	322,897.00	(161,174.00)	1,291,513.50	1,291,513.50	430,504.50	
C	S			96-3-064		422,723.00	380,451.00	90%	42,272.00	10,668.00	6,688.00	4,000.00	570,676.50	570,676.50	190,225.50	
C	S			97-1-010		607,376.00	607,376.00	100%		20,000.00	20,000.00	20,000.00	911,094.00	911,094.00	303,668.00	
C	S			97-5-112		270,684.00	102,652.00	38%	187,432.00	20,000.00	20,000.00	153,978.00	153,978.00	51,265.00		
C	S			97-3-1312		562,350.00	562,350.00	100%	106,855.00	3,500.00	3,500.00	843,787.50	843,787.50	281,262.50		
C	S			2	97-4-147	Vikas Somvillal	669,390.00	592,525.00	88%	11,174.00			150,853.50	150,853.50	50,284.50	
C	S			98-2-068S		20,000.00	17,067.00	85%	2,933.00	10,652.00	10,652.00	25,593.00	25,593.00	8,531.00		
C	S			2	98-1-076S	Kenneth Hoopes	21,700.00	19,250.00	89%	2,450.00	10,652.00	10,652.00	29,595.00	29,595.00	9,865.00	
C	S			2	98-2-069S	Russell Thynes	148,667.00	135,000.00	91%	13,667.00	9,709.00	6,253.00	31,187.00	31,187.00	10,390.00	
C	S			90-3-110		64,764.00	64,764.00	100%		9,709.00	6,253.00	1,455.00	202,500.00	202,500.00	67,500.00	
C	S			98-4-158		198,065.00	198,065.00	100%		22,673.00	22,673.00	22,673.00	37,146.00	37,146.00	12,373.00	
C	S			98-4-116		73,990.00	66,581.00	90%	7,399.00	2,430.00	4,759.00	(2,329.00)	297,099.00	297,099.00	99,033.00	
C	S			98-4-124		185,544.00	167,270.00	90%	18,274.00	2,430.00	4,759.00	(2,329.00)	99,886.50	99,886.50	33,295.50	
C	S			98-4-128		232,655.00	223,042.00	96%	29,613.00	5,575.00	5,575.00	250,905.00	250,905.00	83,635.00		
C	S			99-1-312		399,622.00	389,660.00	98%	9,962.00			334,563.00	334,563.00	111,521.00		
C	S			99-2-074		554,000.00	346,000.00	63%	207,100.00	65,400.00	78,991.00	(13,591.00)	684,490.00	684,490.00	230,350.00	
C	S			99-2-078		104,400.00	93,500.00	90%	10,440.00	1,700.00	2,555.00	(855.00)	520,350.00	520,350.00	174,500.00	
C	S			99-2-092b	Scott Thomas	415,027.00	379,180.00	91%	35,847.00	1,700.00	2,555.00	(855.00)	140,840.00	140,840.00	46,880.00	
C	S			99-3-097		242,740.00	212,027.00	87%	30,713.00	8,659.00	4,743.00	4,743.00	91,500.00	91,500.00	30,500.00	
C	S			99-3-102		200,000.00	184,871.00	92%	15,129.00	10,000.00	9,708.00	292.00	568,770.00	568,770.00	189,335.50	
C	S			99-3-102		259,000.00	209,000.00	81%	50,000.00	10,000.00	9,708.00	292.00	313,500.00	313,500.00	104,500.00	
C	S			99-3-103		158,749.00	148,749.00	94%	10,000.00	23,000.00	11,709.00	11,291.00	246,300.00	246,300.00	82,100.00	
C	S			99-3-104		183,000.00	164,200.00	90%	18,800.00	6,500.00	4,089.00	2,431.00	189,250.00	189,250.00	63,245.50	
C	S			2	99-3-105	Joseph Imlach	251,828.00	228,481.00	91%	23,347.00	5,000.00	4,089.00	431,310.00	431,310.00	143,770.00	
C	S			99-3-107		323,054.00	287,540.00	89%	35,514.00	121,175.00	70,000.00	51,175.00	507,739.50	507,739.50	170,465.50	
C	S			99-4-113		845,425.00	760,883.00	90%	84,542.00	85,000.00	80,106.00	4,894.00	1,413,241.50	1,413,241.50	480,411.50	
C	S			99-4-116		1,567,922.00	1,562,922.00	100%	5,000.00				2,344,383.00	2,344,383.00	781,461.00	
							35,510,453.00	29,815,076.00	84%	5,695,376.00	1,810,381.00	279,954.00	39,921,367.50	39,921,367.50	13,007,850.50	

Notes:
 0 = Income may be received from grant income as a result of the project
 S = Fiscal requirement condition
 R = (Pay -) Income is expected
 A = Knowledge Projects only
 I = Income requirement is expected
 21 = Income requirement is expected in future years

SB 173 ASTF/BIDCO/International Trade

Testimony by Edgar Blatchford, Commissioner Alaska Department of Community & Economic Development to the Senate Finance Committee

9 April 2003

- The bill repeals the existing AS 37.17 statutes that create the Alaska Science and Technology Foundation (ASTF) and programs it administers: foundation grants and the BIDCO (Business and Industrial Development Corporation) assistance program.
- The statute creating the international trade and business endowment in the ASTF is also repealed.
- Subject to appropriation, the bill provides for the transfer to the general fund of the money remaining in the ASTF endowment fund and in the international trade and business endowment.
- Oversight administration of existing ASTF grants and BIDCO assistance program loans and other financial assistance would be transferred to the Alaska Industrial and Export Authority.
- A new BIDCO assistance program, very similar to the repealed BIDCO assistance program is established and administered by the Department of Community and Economic Development (DCED).
- ASTF was created in 1988 with an endowment of more than \$100 million to support grants for technology projects: knowledge projects, small business innovation research bridging grants and direct grants to teachers. Through its endowment, ASTF has generated about \$126 million in income for distribution. Between 1988 and 2002, one half the endowment income -- \$63 million -- has been appropriated and spent for "non-ASTF purposes":
 - \$35 million for University of Alaska operations, Alaska Aerospace Development Corporation (AADC) operations, and Trade and Development operations;
 - \$17 million was appropriated to the state general fund; and
 - \$11 million was used to match federal funding for construction of AADC's \$39 million Kodiak Launch Complex.
- The remaining \$63 million was distributed by the ASTF board over the last 14 years:
 - \$25 million in technology project grants;
 - \$10 million in knowledge project grants;
 - \$8 million to partners;
 - \$5 million to wiring K-12 schools and science museums or internet connectivity;
 - \$2 million in K-12 science and math teacher grants;
 - Contributions to the principal of the ASTF endowment (less than \$500,000); and
 - \$13 million in ASTF operations.
- In mid-March the Legislature passed and the Governor signed into law a supplemental appropriation reducing ASTF FY 2003 operations to amounts spent and obligated to date and included intent language to ASTF to wind down operations by May 15, 2003. The Governor's FY04 budget provided no funding for ASTF.
- Thank you for the opportunity to speak before you today and I urge you to support passage of SB173.

The Alaska Science and Technology Foundation

Governor Murkowski's FY04 budget eliminates the Alaska Science and Technology Foundation (ASTF) and returns the remainder of its assets - \$87 million- to the General Fund. A program designed to provide high risk capital grants is beyond what government should be doing at a time when the state is struggling to reduce its dependence on withdrawals from the Constitutional Budget Reserve and is reducing state services to Alaskans.

ASTF was created in 1988 with an endowment of \$100 million to support grants for technology projects, knowledge projects, small business innovation research bridging grants, and direct grants to teachers. Through its endowment, ASTF has generated about \$126 million in income for distribution. Between 1988 and 2002, one half the endowment income - \$63 million - has been appropriated and spent for "non-ASTF purposes":

- \$35 million for University of Alaska operations, Alaska Aerospace Development (AADC) Corporation operations, and International Trade and Development office operations;
- \$11 million was used to match federal funding for construction of the AADC's \$39 million Kodiak Rocket Launch Center; and
- \$17 million was appropriated to the state general fund.

See attached excerpt from the 2002 annual report.

Distributions to support core programs totaled: \$25 million in technology grants, \$10 million for other knowledge grants, \$8 million for business partners, and \$2 million in grants to math and science teachers. Foundation operating expenses totaled \$13 million, equal to 35% of the \$45 million spent for core purpose grants.

In mid-March the Legislature passed and the Governor signed into law a supplemental appropriation reducing ASTF FY 2003 operations to amounts spent and obligated to date and included instruction to ASTF to wind down operations by May 15th. The Governor's FY 2004 budget supports the Legislative directive - no funding is provided for ASTF.

While the ASTF was a noble idea, it has neither proven to be an essential or effective function of state government. Nevertheless it addressed an important function, the use of science and advanced technology to improve the economy of Alaska and the lives of Alaskans. With the elimination of ASTF, the Administration will support these important and legitimate functions and want to see them continue.

To achieve this objective, the Governor will establish by administrative order a Science Advisory Board. This board would work with governments, the private sector and higher education to strengthen the link between science and commercialization, to promote cooperation on issues of scientific importance, and to advise the Administration on policy issues related to scientific research and its applications. The Administration will work with current and former members of the ASTF Board of Directors to formulate specific goals for a new advisory board and pursue Federal Government funding.

ASTF has reported that each new job it has helped to create cost the state \$56,000. Grantees have reported gross revenues of \$29 million resulting from ASTF grants. The cost of each business started or helped that is still in business is \$300,000 per business. ASTF has no valid measurement for the effectiveness of educational grants showing student improvement.

The Following are examples of some of the grants the ASTF have issued in recent years to build Alaska:

- A 1999 grant of \$18,000 to the Alaskan Chopped Stick Factory in Fairbanks for assistance in mass production. We cannot find that the company exists in 2003;
- A 1997 grant of \$20,000 to test growing wild ginseng;
- A 1992 grant of \$17,529 to a man from **Florida** to develop a plastic prototype of a full-body shower system;
- A 1999 grant of \$19,986 to an **Oregon** foundation to study the use of discarded chum and pink salmon for human consumption; and
- A 1999 grant of \$1,265 to ALK Environmental of Batavia, **Ohio** to investigate the use of fish oil as an insect repellent.

- Alaska Carbon Fiber Boat Production – March 1995 grant of \$84,840 – to develop and test market boats from carbon fiber and isophthalic resins. Ended up being used as a voc-tec activity. No boats sold yet.

- Grant to Alaska Public Radio Network Feb. 1992 of \$19,500 – to develop a “Science Reporting Unit”



Team
Members

ALASKA
Growth Capital

ak/ma
Alaska Manufacturers' Association



PRODUCTS
+
RISK CAPITAL

+
HIGH-TECH WORKERS

+
KNOWLEDGE

+
KNOWHOW NETWORK

G R O W T H

2002**ASTF's FINANCIAL STATUS****ENDOWMENT EARNINGS HAVE DECLINED**

Endowment earnings have declined beginning in FY99:

- ASTF's endowment is co-invested with the Alaska Permanent Fund; and,
- Earnings have significantly declined due to the stock market downturn and a smaller earnings base.

ASTF'S RESPONSE TO THE STOCK MARKET DOWNTURN

The ASTF Board reduced distributions in FY02 by:

- Reducing operations costs;
- Deferring consideration of new proposals;
- Reducing payments to partners;
- Prorating available earnings to ASTF, UA and AADC; and,
- Closely managing payments to existing grantees.

LEGISLATIVE APPROPRIATIONS FOR NON-ASTF PURPOSES

Over the last five years, the legislature appropriated \$14.2 million of ASTF's endowment earnings for non-ASTF purposes:

- \$11.4 million to the University of Alaska;
- \$2.3 million to Alaska Aerospace Development Corp.;
- \$0.5 million for DCED International Trade;
- In FY02, the ASTF Board prorated available income and paid \$1.1 million to UA and AADC equivalent to approximately 100 percent of its FY02 endowment earnings; and,
- For FY03, the legislature appropriated \$2.3 million to UA from the ASTF endowment.

EXPENDITURES FOR ASTF PURPOSES AND THE OVERALL ENDOWMENT VALUE HAVE DECLINED

Expenditures for ASTF purposes have declined and fallen short of legislative appropriations due to:

- The significant reduction in endowment earnings; and,
- Continued legislative appropriations for non-ASTF purposes.

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April 3, 2003

The Honorable Gene Therriault
President of the Senate
Alaska State Legislature
State Capitol, Room 107
Juneau, AK 99801-1182

Dear President Therriault:

Under the authority of art. III, sec. 18, of the Alaska Constitution, I am transmitting a bill relating primarily to the Alaska Science and Technology Foundation (ASTF) and the programs it currently administers.

The bill would repeal the existing AS 37.17 statutes that create the ASTF, its endowment fund, and the programs it administers -- foundation grants and the BIDCO assistance program. The statute creating the international trade and business endowment in the ASTF also would be repealed. Subject to appropriation, the bill would provide for the transfer to the general fund of the money remaining in the ASTF endowment fund and in the international trade and business endowment.

Oversight administration of existing ASTF foundation grants and BIDCO assistance program loans and other financial assistance would be transferred to the Alaska Industrial Development and Export Authority. A new Alaska BIDCO assistance program, very similar to the repealed BIDCO assistance program, also would be established, to be administered by the Department of Community and Economic Development.

The bill also would make amendments in several other statutes to conform them to the changes described above.

I urge your prompt and favorable consideration of this bill.

Sincerely,

A handwritten signature in black ink that reads "Frank H. Murkowski".

Frank H. Murkowski
Governor

4/28/03

SB 173 ASTF

* Mark Bendensky
Groups Project Administrator
ASTF
off net
272.4333

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off net
269.3050

QUESTIONS ONLY!

SENATE FINANCE COMMITTEE

SIGN-IN

SB 173-SCIENCE & TECH FOUNDATION/BIDCO/INT.TRADE

✓ NAME: EDGAR BLATNICKOWICZ Subject/Bill No: 173
Co./Dept./Title: DCEO Phone: 786.2500
Address: JUNEAU Zip: _____

Do you wish to testify? Yes No Respond To Questions

NAME: _____ Subject/Bill No: _____
Co./Dept./Title: _____ Phone: _____
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Do you wish to testify? Yes No Respond To Questions

NAME: _____ Subject/Bill No: _____
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Do you wish to testify? Yes No Respond To Questions