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Ascenion Information Letter
May 2011

Spinovator: EUR 40 Million to Foster Innovation

Vesalius Biocapital, Ascenion and the Federal Ministry of Education and Research (BMBF) recently introduced a new tool for turning academic projects into commercial opportunities: the Spinovator. Experienced technology managers and venture capitalists will work together with Ascenion's partner institutes to select the most promising findings from life-science research, build spin-off companies around them and grow them into viable businesses. The overall funding earmarked by Vesalius Biocapital and the BMBF for these companies amounts to EUR 40 million.

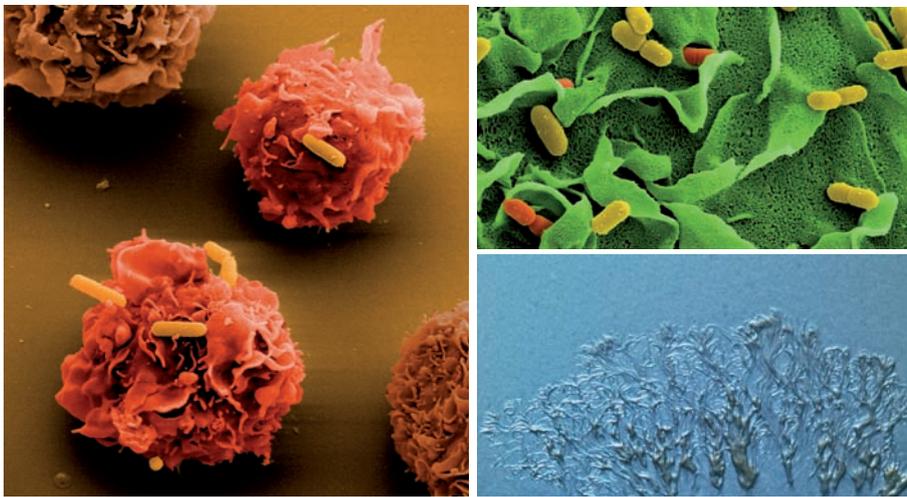
Spinovator Structure and Funding

- Up to 10 academic projects will be taken on over the next 5 years.
- A start-up will be founded for each selected project.
- Funding is usually structured into financing tranches and rounds.
- Funding will be provided equally by Vesalius Biocapital and the BMBF.
- The total funding volume per company can be boosted through co-investments from third parties.
- Projects will primarily be sourced from Ascenion's partner institutions.
- Projects will be selected and managed jointly by the partners.
- The anticipated exit horizon is 5 years.
- For further information see www.spinovator.de

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We talked to the BMBF, Ascenion and Vesalius Biocapital to learn more about the idea behind the Spinnovator and the opportunities it offers.



Q: Over the past few years, many tools have been launched in Germany to support the translation of early-stage projects into commercial application: GO-Bio, the High-Tech Gründerfonds, the Life Science Incubator and many others. Do we really need the Spinnovator?

Georg Schütte, Secretary of State, BMBF: Indeed, the funding opportunities for translational research have dramatically improved over the last decade. However, this was badly needed, and too many excellent ideas still become deadlocked at an early stage. We support the Spinnovator as part of our strategy to further exploit Germany's enormous scientific potential for the creation of novel medicines and jobs in growth sectors. What has convinced us about the Spinnovator concept is the early integration of venture capital. This is unique in Germany at present.

Q: What is the advantage of having venture capitalists on board, right from the beginning?

Christian Stein, Ascenion: We firmly believe that projects are more likely to develop in tune with the market. Venture capitalists know the rules of capital markets from the inside, and they are responsible to their clients for the investments they make. They will select according to strict criteria and invest substantial energy in developing each project to its full potential. As a result,

the spin-offs should be well positioned to prevail in the market when the period of Spinnovator funding ends.

Q: Do you agree? What is your motivation to participate in the Spinnovator?

Christian Schneider, Vesalius Biocapital: It is a great opportunity for us to get access to the most innovative projects from academic life-science research. In this respect we strongly emphasize the active role we will take in selecting projects and supporting their progress. The early, intense cooperation between science, technology transfer and venture capitalists holds tremendous potential. I am confident that we will get things going, not least because we have established an excellent and trustful relationship among the partners.

Q: What is the use of public money in this context? Wouldn't venture capital alone be sufficient?

Georg Schütte, Secretary of State, BMBF: Experience shows that most academic projects – even highly attractive ones – are usually too early to attract 100% funding from capital markets or licensees from industry. The beauty of the Spinnovator concept is that the funds provided by the BMBF will be matched by venture capital and can thus attain significant leverage.

Q: Will Vesalius be the only venture capitalist to invest into Spinnovator projects?

Christian Schneider, Vesalius Biocapital: No, we do not claim an exclusive position. Quite the opposite: depending on individual project requirements we plan to attract some two to three further parties as co-investors to series A and B funding. With this combined funding, we should be able to obtain a steep increase in value for the spin-offs and their shareholders within five years, which is our typical exit horizon

Q: You previously mentioned the scientists. To what extent will they be involved in the further development of their projects?

Peter Ruile, Ascenion: We believe it is essential to involve them closely. However, we are flexible with regards to the formal structure of the cooperation. Some inventors have excellent projects but prefer continuing their academic career rather than becoming an entrepreneur. This is fine for us, as long as they are willing to support the start-up as a consultant. We will then build an appropriate team for the new company.

Q: Who stands to gain financially if a Spinnovator company is successful?

Christian Stein, Ascenion: The venture capitalists and their investors benefit from exit proceeds, i.e. the money they receive when they sell their shares. The same applies for inventors who also get shares if they take an active role in the start-up. Ascenion also usually receives an equity stake in return for its services. However, the proceeds from selling the shares flow back to public research – either directly to the originating institution, or via the Life Science Foundation. Moreover, the originating institutions and inventors typically obtain fees from licensing their IP to the spin-off, as well as from royalties on sales if resulting products become commercially successful. Overall, the Spinnovator enables public research institutes to participate to a larger extent in the value generated from its results than any other commercialization strategy.

Inventor's View

Prof. Dr Thomas Weber

Professor of Neurology, Universität Hamburg and Chief Physician, Neurologische Klinik MKH, Hamburg



Research focus: Rare transmissible diseases of the central nervous system; immune response to the human polyoma virus JC (JCV); viral capsids as drug and gene delivery vehicles

Background: Training in Neuropathology, Heinrich-Heine-Universität Düsseldorf; Neurology, Georg-August-Universität Göttingen and University of Texas Medical School, Houston Texas; Virology, Baylor College of Medicine, Houston Texas and German Primate Center Göttingen; Psychiatry, Georg-August-Universität Göttingen

I got first involved with technology transfer when...

... I had successfully cloned a gene encoding a virus capsid that self-assembles into virus-like particles (VLP) with the typical morphology of polyoma viruses. Together with my colleague Wolfgang Lücke, who sadly passed away last year, we started exploring some ideas on potential applications. The most obvious one was to use the recombinant protein for developing an ELISA-assay for virus-specific antibody detection. Up to then, there was no such tool available due to the extreme difficulties of propagating this virus in culture. Another option was to use the particle as a gene or drug delivery vehicle for targeted therapies. I was involved in patenting our findings and licensing certain rights to Biogen Idec.

I was most surprised about...

...two things: Scientifically, it was most astonishing for me to learn that our virus-like particles could transfect cells much more efficiently than liposomes, which makes them highly promising as drug delivery vehicles. With regard to technology transfer, I had not anticipated how difficult it can be to gain acceptance in the industry for novel delivery technologies. A quirk in nature and the coincidental occurrence of a rare viral infection of the human brain in three patients treated with a novel monoclonal antibody to VLA-4 suddenly made the VLPs a highly desirable and relevant basis for a test for viral antibodies. With regard to negotiations, I had no idea as to how demanding and time intensive these can be. I learned to exercise patience and to respect it as a virtue.

If I could choose one project to reach the market this would be...

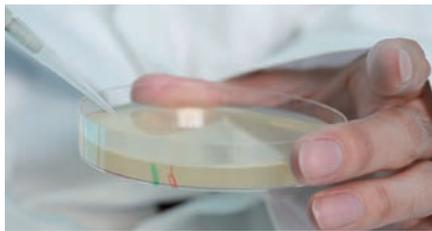
...targeted drug and/or gene delivery to tumours, autoimmune and neuro-degenerative diseases of the central nervous system.

I believe a major obstacle to technology transfer is...

...that many colleagues in both academia and industry are apprehensive of new technologies and ideas.

My personal gain from participating in technology transfer projects is...

...comprehending what makes industry tick and starting to understand how decisions are made within companies.



What I would like to know:

What needs to be done to improve the exchange of ideas, concepts and people between academia and industry in Germany? In the US and the UK, the boundaries between these worlds seem to be less tight and more permeable.

Noteworthy



Helmholtz Validation Fund

At the end of last year, the Helmholtz Association launched a new fund, the Helmholtz Validation Fund, to endorse the further development of commercially attractive projects from its institutes. The fund will provide financial as well as

managerial support to projects that are selected by an independent committee for their innovativeness and commercial prospects. Each project can receive EUR 0.25–1 million per year from the fund, which will be matched by the same

amount from either a Helmholtz institute or an industry partner. The proceeds are conditionally refundable. For further information please contact Jörn Krupa from the Helmholtz Association: joern.krupa@helmholtz.de

Client Portfolio

Five more research institutes from the Helmholtz and Leibniz Association have selected Ascenion as their technology transfer partner. These institutes are the first new partners that are not exclusively focused on the life sciences, and bring significant IP in the fields of chemistry, physics and technology to the portfolio managed by Ascenion.



'The boundaries between the fields are becoming increasingly blurred,' Peter Ruile, COO of Ascenion comments. 'Some of our most promising projects have resulted from combining insights and expertise across the disciplines. New biomedical imaging technologies or catalytic processes are just a couple of examples.' At the end of last year, Ascenion therefore expanded its team of technology managers to include a physicist.

'As an application-oriented research institute, we are already firmly rooted in technology transfer. By collaborating with Ascenion and their particular expertise in life sciences we aim to open up new markets for our developments,' comments Nicolas Huebener, Head of Science Management Department from the Ferdinand-Braun-Institut, Leibniz-Institut für Höchstfrequenztechnik. 'Target applications are specifically in the fields of medical, environmental and sensor technology.'

The collaboration between Ascenion and its new partners will initially run for three years and will be co-funded by the Federal Ministry of Education and Research (BMBF). Altogether, Ascenion now supports 22 research institutions as well as the Hannover Medical School, TWINCORE and the MGC Foundation.

Helmholtz-Zentrum Dresden-Rossendorf – Dresden

- Key research areas: advanced electronic materials, cancer and nuclear safety
- Dedicated infrastructure: Radiation Source ELBE, Ion Beam Center, Rossendorf Beamline at the ESRF, PET-Center, TOPFLOW facility, Dresden High Magnetic Field Laboratory
- About 800 employees, total budget about EUR 84.7 million p.a., 23.8 million thereof third-party funding (2009)

Leibniz Institute of Polymer Research – Dresden

- Key research areas: functional nanostructured interfaces and polymer systems; biology-inspired interface and material design; structure, theory and application of polymer networks; process-controlled structure formation in polymer materials
- About 500 employees, total budget EUR 26.5 million p.a., 8.9 million thereof third-party funding

Leibniz Institute for Solid State and Materials Research – Dresden

- Key research areas: superconductivity and superconductors; magnetism and magnetic materials; molecular nanostructures and molecular solids; metastable alloys; stress-driven architectures and phenomena
- About 540 employees, total budget around EUR 41.3 million p.a., 13.9 million thereof third-party funding (2010)

Ferdinand-Braun-Institut, Leibniz-Institut für Höchstfrequenztechnik – Berlin

- Key research areas: application-oriented research in the fields of microwaves and optoelectronics, competence centre for III–V compound semiconductors
- Close collaborations with industry offering complete solutions – from design to ready-to-ship modules
- About 235 employees, total budget about EUR 19.5 million p.a., 8.5 million thereof third-party funding (2010)

Leibniz Institute for Catalysis LIKAT – Rostock

- Key research areas: application-oriented research in the field of catalysis
- Close collaborations with industry offering the development of homogeneous and heterogeneous catalysts or catalytic processes
- About 250 employees, total budget about EUR 15 million p.a.

Spinning Innovation

Ascenion's spin-off business had a remarkably strong start in 2011. Not only was the Spinovator launched, but over EUR 21 million was also raised by Ascenion's portfolio companies in two seed financing rounds and one follow-on financing round. Moreover, a new start-up was established. Here are details of selected spin-off stories:

Non-hallucinogenic LSD-derivative for treating cluster headache

Early this year, Ascenion acquired an equity stake in Entheogen Corporation, a US-based start-up that was jointly established by former Hannover Medical School (MHH) researcher Torsten Passie, together with a Harvard colleague and a former financier. Entheogen's main objective is the development of a new treatment against cluster headache, an extremely painful condition, which affects about 1 in 1000 people. Many of them are often close to suicide due to their inconceivable head pain which is markedly greater than in any other form of headache, including severe migraine.

The starting point was a small, open-label trial using the LSD derivative BOL-148 (2-bromo-D-lysergic acid diethylamide) in cluster headache: Three single doses over 10 days could either terminate or significantly reduce the intensity of attacks in patients who had not responded to the standard treatments or could no longer tolerate medication side effects. Side effects were virtually non-existent. Notably, there were no psychedelic or physiological side effects. 'If we are now able to confirm these anecdotal data in clinical studies, BOL-148 offers a paradigm shift in medicine: an extremely potent and cost-efficient treatment that is almost free of side effects and confers long-term protection. So far, there is nothing comparable out there,' Dr Passie comments.

Together with its technology transfer partners, Entheogen is currently evaluating various financing options including partnerships, donations, institutional and private investors as well as federal funding programmes. In parallel, the team is preparing to commence Phase II trials of BOL-148 for the treatment of cluster headache.

EUR 1.3 million for preventing allergies

In 2007, Protectimmun GmbH was founded to exploit groundbreaking research in allergy prevention from the Research Center Borstel (FZB) and the Ruhr-Universität Bochum. This year, the company announced the closing of a financing round totalling up to EUR 1.3 million with the High-Tech Gründerfonds (HTGF), the ELS Fonds and KfW Bank. Protectimmun will use the proceeds to advance its new preventive drug against hay fever and allergic asthma through preclinical testing and prepare the start of clinical studies.

'We are extremely pleased to have now closed the deal, having worked on our approach for several years,' says Marion Kauth, co-founder and CEO of Protectimmun. Back in 2007, she and her team had started to investigate an extract of barn dust that had been shown to prevent hay fever and allergic asthma in model systems. The idea was compelling: creating a drug derived from barn dust that confers life-long protection against hay fever, to be administered as a nose spray – it couldn't be simpler. If successful, it would be the first approach to effectively reduce the burden of hay fever and allergic asthma in the population. So far, treatment options are quite limited. Desensitization only works in some cases and the only alternative for non-responders is the

mitigation of symptoms using histamine- or corticoid-based therapies.

In 2010, Marion Kauth then met with the HTGF. 'We got talking during the Biotech NetWorkshop organized by Ascenion and Max Planck Innovation,' she remembers. The potential of the approach immediately sparked the HTGF's interest. But it was as much the strength of the team and the progress it has made that finally convinced the HTGF to make its investment, together with the ELS and KfW: first, Protectimmun has identified the bacterium *Lactococcus lactis* as a key active ingredient of the protective barn environment; second, the team has set-up a scalable manufacturing process and initiated preclinical testing in line with international regulatory standards, and third, it has built a strong patent estate around its approach. All this was done with a team of no more than three employees who worked in close partnership with the scientific advisers and co-founders of Protectimmun, Prof. Bufer and Prof. Holst. 'We are most impressed with what they have achieved,' says Hinrich Habeck, technology manager at Ascenion, who has counselled and supported Protectimmun over the years. 'We very much look forward to accompanying the team through the next phase of corporate growth. I am confident that, within two years' time, their projects will have reached a stage where additional investors or industry partners get on board.'



Fostering Networks

Biotech NetWorkshop 2011: One-on-ones with industry leaders



'This workshop offers exactly what we need,' a participant concluded at the end of the Biotech NetWorkshop, which is organized annually by Ascenion and Max Planck Innovation for entrepreneurial scientists at their partner institutes. Around 15 industry leaders – CEOs, investment managers, legal and other experts – joined the workshop to share their experience and knowledge with almost as many scientists who either plan to start or have just founded their own business. In intense one-on-one coaching sessions, the newcomers discussed their business idea with experienced managers. Moreover, they collected invaluable information on financing, team building, business development and communication from expert presentations tailored to the specific needs of young entrepreneurs. Social in- and out-door activities provided ample space for continuing discussions and building or deepening collaborations. 'The exclusive group of participants together with the support from top industry leaders makes the event extremely effective,' Anja Kroke

of Ascenion commented. 'Quite a number of successful deals or long-term collaborations have been initiated during a Biotech NetWorkshop. One example is the seed financing that was recently announced by Protectimmun.'

Next year's Biotech NetWorkshop will take place on 25–27 January 2012.

AUTM Annual Meeting: Improving the odds

Technology transfer professionals and industry representatives from all over the world came together in Las Vegas this spring for the 2011 Annual Meeting of the Association of University Technology Managers (AUTM). In eight parallel tracks, all facets of technology transfer were presented and discussed, with topics ranging from successful licensing practices to financing tools, and from budget control to broader policy trends. 'The meeting is a great opportunity to meet colleagues, exchange

experiences and learn from each other,' Susanne Letzelter from Ascenion comments. 'For instance, it was interesting to see how closely big universities such as Stanford collaborate with venture capitalists who have established dedicated offices on campus.' Another plus for the meeting is the strong presence of industry. 'We had quite a range of inspiring one-on-ones with representatives from global biopharmaceutical companies who were most impressed by the combined IP portfolio of our partner institutions.'

BioVaria 2011: Now truly European

Fifteen technology transfer organisations from eight European nations teamed up this year for BioVaria 2011, presenting the strongest portfolio of licensing and investment opportunities ever since BioVaria was launched five years ago. The projects have not only grown in number but also in maturity. All of them are now available online. Have a look at: www.biovaria.org

Meet us at these forthcoming events:

BioVaria 2011, 24 May 2011, Munich, Germany

Deutsche Biotechnologietage, 25–26 May 2011, Munich, Germany

ASTP-Conference Stockholm, 26–27 May 2011, Stockholm, Sweden

Zukunftskonferenz Medizintechnik, 20–21 June 2011, Berlin, Germany

BIO International Convention, 27–30 June 2011, Washington DC, USA

Ascenion Says Goodbye to Peter Ruile

Peter Ruile, Ascenion's COO, will leave our team at the end of May to take on new challenges as business developer in the biopharmaceutical industry. He came on board nearly 10 years ago – just 15 days after Ascenion was founded by four institutes of the Helmholtz Association as an independent IP asset management company to support public research organizations in the life-science sector, across regional and organizational borders. It is very much due to Peter's commitment and energy that we have been able to develop Ascenion into one of the most significant players in the field, now serving 25 client

organizations, co-managing a dedicated start-up fund and coordinating one of Europe's leading showcasing events in the life-science sector. Peter's outstanding ability to build projects from scratch and to inspire and integrate people has shaped Ascenion's culture and identity. We are all very sad to see Peter go, but we will take the opportunity it offers to those in our team who have learned from him and are now prepared to take on more responsibility. With a new level of strategic managers largely recruited from inside the company, we will continue to dedicate ourselves to improving the prospects and rewards of technology transfer for our clients.

Many thanks to Peter. We wish you every success and all the best for the future on the other side of the table!

*Christian Stein
and the Ascenion team*



News in Brief

License agreement with Biogen Idec

Mediated by Ascenion, the German Primate Center (DPZ) closed a license agreement providing Biogen Idec with exclusive, worldwide rights to a patent portfolio directed to a recombinant virus-like particle (VLP) containing VP1 protein for the detection of antibodies to JC virus (JCV). The license provides authorization for Biogen Idec's use of this VLP in a test in the context of multiple sclerosis (MS) and, optionally, certain other indications. In return, the DPZ receives undisclosed upfront and milestone payments as well as royalties related to the VLP's use.



Further EUR 5 million for Activaero

Activaero, one of the well-established spin-offs in Ascenion's portfolio, closed a

further financing round of EUR 5 million, led by Life Sciences Partners and including existing investors. Activaero will use the proceeds to further develop its proprietary pulmonary drug delivery technology and to establish further clinical activities.

MGC Foundation expands range of research models



About five years ago, Ascenion and the world-famous immunologist and geneticist Prof. Klaus Rajewsky established the Mouse Genetics Cologne (MGC) Foundation to market transgenic mice for which Prof. Rajewsky holds the property rights. At the end of last year, the MGC Foundation closed an alliance with the Immune Disease Institute (IDI) in Boston, USA, providing the MGC with the commercialization rights to the mouse models Prof. Rajewsky has

developed during his time working at the IDI. Altogether, the MGC Foundation now offers access to over 87 highly specific mouse strains, most of which have been designed as models of immune system diseases. The proceeds from commercialization are used to support genetic and immunological research projects. Find further information at www.mgc-foundation.de.

Antibody deal with ITM

Ascenion has mediated a license agreement between the Helmholtz Zentrum München and ITM Isotopen Technologien München AG providing the company with exclusive rights to monoclonal antibodies targeting mutant forms of E-cadherin. These forms, D8- and D9-cadherin, are only present on certain gastric cancer cells, but not on healthy tissues. ITM, a leading developer of radio-isotope therapies and integrated application systems, plans to conjugate the antibodies to certain radioisotopes and develop them for specific gastric cancer diagnosis and treatment. The Helmholtz Zentrum München receives license fees and is eligible for royalties on potential sales.

Ascenion team news



Dr Thilo Förster
Technology Manager
Team Munich

Thilo Förster, a physicist by training, joined Ascenion as first technology manager with a 'non-life-science focus' to support the team in the evaluation and marketing of interdisciplinary projects. He brings in dedicated expertise in key disciplines, including membrane- and neurophysics as well as biosensors and medical technology. He studied at the Technische Universität München, with a particular focus on biophysics, and completed his diploma and PhD projects at the Max Planck Institute of Biochemistry and the Fraunhofer Research Institution for Modular Solid State Technologies, respectively.



Dr Katja Rosenkranz
Senior Project Manager Spinnovator,
Team Munich

Katja Rosenkranz joined Ascenion in January 2011 as project leader of the Spinnovator. She brings in-depth expertise in scientific research and many years of industry experience to the team. After completing her PhD at the Max Planck Institute for Neurobiology in Munich she worked as an analyst with a European venture capital company for four years before she became an independent consultant and interim manager for young growth companies. For more than four years, she supported her clients in strategic and organizational development, fundraising, HR management and financial planning, turning their academic spin-offs into operative enterprises. She holds a MSc/Diploma and PhD in Biochemistry from Witten/Herdecke university.



Marja-Maija Ristiluoma
Spinnovator Project Assistant
Team Munich

Marja-Maija Ristiluoma joined Ascenion in January 2011 as part-time project assistant to the Spinnovator contributing to project selection, due diligence and investment management. In parallel, she is working as investment analyst with Vesalius Biocapital, responsible for dealflow and database management, due diligence and analysis of investment opportunities and portfolio companies. Before she joined Vesalius Biocapital in January 2010, she studied biochemistry at the University of Oulu, Finland, and completed her MSc thesis at the Max Planck Institute of Biochemistry in the department of Molecular Medicine in Munich, Germany.

Latest Technology Offers

- A method for inducing cellular apoptosis
[TO 01-00750](#)
- VLP-based Epstein-Barr-Virus (EBV) vaccine
[TO 01-00833](#)
- Protective approach against tumor genesis via induced senescence
[TO 02-00279](#)
- New implant coating preventing biofilm formation
[TO 02-00288](#)
- Highly specific activity-based probes for target validation studies of deubiquitinating enzymes [TO 02-00290](#)
- Stable gene transfer in hard-to-transfect vertebrate cells with new hyperactive sleeping beauty transposase [TO 03-00251](#)
- Diagnostic and prognostic marker for metastasis and its risk in colorectal and gastric cancer patients [TO 03-00307](#)
- Novel biomarkers for early diagnosis of acute kidney injury
[TO 03-00324](#)
- Zebrafish-based technology platform
[TO 03-00332](#)
- pH-switchable tag for easy protein purification
[TO 08-00079](#)
- New antimitotic rhizoxin derivatives
[TO 10-00021](#)
- Innovative tags to increase specificity of complement system inhibitors for therapeutic use [TO 10-00081](#)
- Prevention and treatment of glucocorticoid-induced osteoporosis
[TO 11-00050](#)
- Induction of a mature hepatocyte phenotype in precursor cells
[TO 15-00147](#)
- Novel method for automatic 3D modelling of bone defects
[TO 15-00151](#)
- Prediction and therapy control of large vessel vasculitis
[TO 15-00171](#)
- Flap retractor for periodontal and periimplant surgery
[TO 15-00162](#)
- Noise cancellation system for use in MRI scanners
[TO 21-00010a](#)
- MRI-compatible acoustic transducer for broad band loudspeakers or headphones [TO 21-00010b](#)
- SynProt – a new database for the proteome of synaptic junctions
[TO 21-00002a](#)
- Quiescent B cells for immune suppression in gene therapy
[TO 22-00009](#)
- Roimatacene, novel antibiotic against gram-negative bacteria
[TO 02-00295](#)
- HCV inhibitor Haprolid
[TO 02-00285](#)
- Shear-induced fragmentation aggregation (ShiFA) array for prion production
[TO 02-00292](#)

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Editorial

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