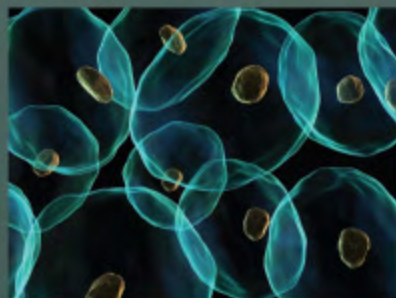
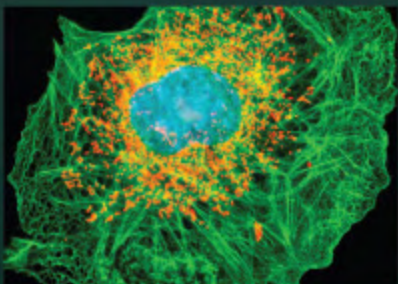
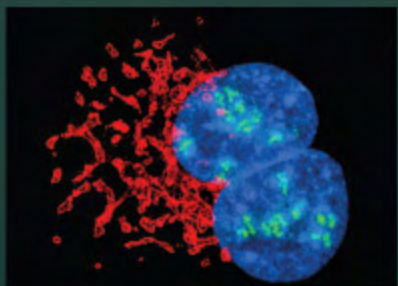
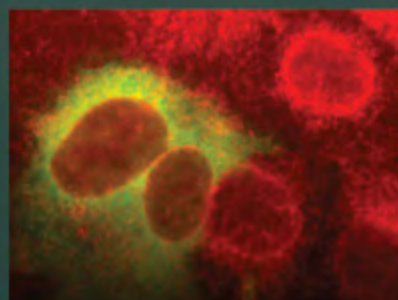


*FIRST EDITION*



# Biopharmaceutical Expression Systems and Genetic Engineering Technologies

Current and Future Manufacturing Platforms



by Ronald A. Rader

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**Current and Future Manufacturing Platforms**

*by* Ronald A. Rader



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# Introduction and User Guide

This is the 1st edition of *Biopharmaceutical Expression Systems and Genetic Engineering Technologies: Current and Future Manufacturing Platforms*. Expression systems encompass the technologies - biological materials and associated know-how - needed to genetically modify organisms for the manufacture of recombinant proteins (including glycoproteins and antibodies). This book is designed to be the single most informative source concerning commercial biopharmaceutical product manufacturing-related expression systems and basic engineering technologies, with emphasis on those currently used for biopharmaceutical manufacture and those available for commercial licensing for this purpose; providing basic information for the knowledgeable user to determine relevance for their applications; conduct further research and/or contact technology licensing sources.

The primary goal is to inform the user of the many technologies in commercial use and those claimed to be useful for commercial-scale manufacture of biopharmaceutical products, rather than provide detailed or comparative information about each. This directory is the result of multiple man-months of cumulative effort in information acquisition, organization and analysis. As such, it is a high value-added product that should save you considerable time and effort in finding technologies relevant to your interests. It should reliably cover relevant technologies currently being used commercially, those being actively offered for licensing, those discussed in industry news sources and review articles, and those offered by leading genetic engineering and bioprocessing technology licensors. However, it does not cover every relevant published or patented technology.

**Coverage** - Simply stated, coverage concentrates on host cells/organisms, basic genetic engineering methods, recombinant constructs and the many technologies available to enable or improve expression of desired proteins, including glycoproteins and antibodies. This directory concentrates on the core genetic materials (e.g., host cell lines and organisms) and related methods and materials, e.g., vectors, promoters, selection and amplification methods, chaperones, etc., used or claimed useful for commercial-scale manufacture of biopharmaceutical products, primarily recombinant proteins and monoclonal antibodies. Thus, this directory concentrates only on what is used or needed for upstream manufacture (and nothing else).

This directory includes broad platform technologies, generally defined by the living host cells/organisms being used, which may be natural or genetically modified to begin with; and the basic genetic engineering technologies needed to get the desired gene sequence(s) into these hosts and get these genes efficiently expressed (transcribed and translated) for commercial-scale manufacture. Thus, this directory includes a number of specific genetic engineering technologies, e.g., vectors, promoters, chaperones, affinity fusion protein purification schemes, etc., useful with all, some or specific platform technologies/host systems.

## NOTE!

This reference is based on published and unpublished information. It is recommended that readers confirm information, and obtain updates from license holders.

Technologies involve or can be defined or viewed in many ways or on many different levels. For example, one may broadly refer to yeast or baculovirus expression vector technologies, actually a grouping or classification of multiple technologies. And very often, what is referred to as a specific technology actually involves multiple components, each of which may be considered a technology, e.g., be separately available for licensing. In most or nearly all cases, technologies have been described in or exemplified by patents. Technologies involve know-how or enabling knowledge and related information. With biopharmaceutical manufacturing and genetic engineering technologies, this invariably involves information, e.g., methods and gene/protein sequences, often embodied in genetic constructs and culture collection deposits. In the biopharmaceutical area, just about every technology of interest has been or is in the process of being patented; and most technology acquisition or other technology transfer involves patent licensing. In many cases, all one needs to effectively acquire rights and implement a desired technology is to license related patents. In many other cases technology acquisition/licensing should involve or requires initial or even continuing technical assistance from the inventors or the organization handling licensing.

Coverage includes both technologies currently in predominant use for biopharmaceutical product manufacture, with these primarily based on use of *E. coli*, Chinese hamster ovary (CHO) cells and yeasts, primarily *Saccharomyces cerevisiae*, and new and upcoming alternative platforms/hosts, most of which have not yet been adopted/adapted for commercial-scale manufacture. Much of the older technologies, particularly those in use since the 1980s (including most *E. coli*, CHO and yeast technologies), have in recent years either lost or will soon lose patent protection. Many users of this directory will likely be interested in these proven, regulatory agency-familiar, cheap (now or soon no licensing expenses involved) but, in many respects, inefficient technologies. Most, if not most, directory users are presumed to be interested in new alternatives and/or significantly improving current in-house platform technologies, e.g., by adopting newer technologies offering higher yields.

**What is not included** - If a technology does not involve genetic materials and their manipulation, generally host cells/organisms and genetic constructs or methods, it has not been included, no matter how relevant to biopharmaceutical manufacture. Thus, this directory does not include;

- a) technologies relevant to specific products, e.g., product-specific gene/protein sequences; only technologies relevant to manufacture of all or broad classes of proteins, including glycoproteins and antibodies.
- b) protein engineering or other molecule design technologies, unless substantially involving commercial-scale protein expression. Thus, nearly all methods for designing and predicting protein structures are not included.
- c) protein screening technologies, including selecting for desired active agent/product characteristics. An incredible number and diversity of screening technologies are available, but are not included.
- d) some rather generic genetic engineering, molecular biologic laboratory technologies, with these sometimes discussed in brief generic entries. For example, there are hundreds of different chemical and physical agents and related methods used for transfection or modifying cells so that vectors or other genetic constructs get to and act upon genetic material within cells. Most of the related reagents and materials are readily available from multiple commercial vendors/reagent sellers, and most of the methods are readily available in standard references for molecular biology procedures.

Various basic, broad genetic engineering and molecular biology methods have been included where these have been patented and/or require taking a license for commercial use. Many directory users will be



unpleasantly surprised to learn that many of the most basic genetic engineering and molecular biologic method and reagents are patented, and require taking royalty-bearing licenses for commercial use.

e) generic, non-genetic engineering-based methods for host cell/organism modification, e.g., non-targeted or random mutation-based methods; e.g., exposure to mutagens and selection for desired characteristics or adaptation to specific; e.g., protein-free, culture media by growth, repeated passages and selection of adapting cells/organisms.

d) microorganism and cell culture, culture media, fermentation, and related bioreactor and fermenter technologies. This directory does include various microbes, other organisms and plant, insect and animal cell lines, many adapted to specific types of culture or bioreactors, e.g., adherent or suspension culture, and/or adapted to specific types of culture media, e.g., serum- or protein-free media; but does not include technologies related to bioreactors, fermentors, bioreactor/fermentor control, etc.

e) downstream technologies, including purification. This directory does not include separation, purification, formulation, viral inactivation or other downstream technologies. This directory does include genetic and protein expression-based methods for downstream processing, particularly purification using fusion proteins for affinity-based purification, but does not include chromatography and other technologies for protein purification.

In many cases, technologies, particularly those being offered for licensing, were described as such by their owners/licensors; and the author generally followed how inventors/licensors described their technologies. In many other cases in which a technology description is not clear, this author had to identify and define technologies. Thus, the author often defined and developed his own technology descriptions, presuming that essentially every/any technology, particularly those fully publicly disclosed (e.g., in patents), is available for licensing (for the right price).

Luckily, the biotechnology industry is a relatively open market for technology licensing, i.e., most every non-product-specific technology is available for licensing, if one bothers to ask. However, there are some exceptions in certain areas, notably with higher plants, e.g., field crops, and transgenic mammals, where some companies simply hoard (do not license) their technologies or are very selective in their licensing., e.g. not licensing them to companies that might be worthy competitors.

**Monographs Content** - Descriptive entries are provided for ~340 technologies. Data fields are:

- 1) Title - The various names of associated with technologies and major components are included, optionally followed by a hyphen and the author's annotation of the host/organism system(s) used and/or special capabilities of the technology (e.g., glycosylation; antibodies manufacture).
- 2) Organizations involved - The major organizations involved are listed along with characterization of their role or involvement in the technology, e.g., licensor, patent assignee, research, etc.
- 3) Description - A summary of available information about the technology concentrating on functionality, improvements provided, etc.
- 4) Use with - Brief characterization of the main host cells/organisms used with the technology.
- 5) Use to make - A brief characterization of the types of products the technology is designed or claimed to be useful for.
- 6) Background - An optional field presenting claimed benefits or desirable characteristics of the technology.

7) Patents - Information about relevant patents.

8) Licensing information - Information about licensing contact(s), optionally with information about related commercial activities, e.g., know licensees.

9) Products made with this tech. - An optional field presenting information about biopharmaceutical products made using/incorporating the technology.

10) Further info. - An optional field usually presenting citations to related publications.

**Organization of Monographs** - The monographs are divided into two main sections:

1) The first section presents broadly-enabling, platform-type technologies, particularly novel host cells and organisms.

2) The second section presents more specific, supporting and component technologies. These may be broadly generic, applying to diverse hosts/platforms, or applying to multiple or just one major host/platform.

Note, these divisions represent purely subjective decisions on the part of the author! It is often very difficult to determine the relevance and utility of these technologies. What may be presented as a more specific, supporting or component technology, e.g., vectors or promoters useful with a specific organism or class of organisms, may along with other technologies be the single critical components enabling or defining a new manufacturing platform technology.

Within each of the two main technology sections, monographs are loosely classified or grouped by broad platform technologies, generally host cell/organism classes, e.g., *E. coli*, yeasts, mammalian cells, etc. However, keep in mind that most technologies are or can be presumed to either be relevant to multiple broad platforms, as is often presented in monographs, or may actually be relevant to just one specific platform, e.g., vectors claimed useful with yeasts may actually be only or primarily useful with *S. cerevisiae* or another yeast (but available information does not make this clear). The author generally followed the lead of available information from the licensor, including patents, in terms of describing the utility of specific technologies.

**Indexes** - The following indexes are provided:

1) Company/Organization

2) Subject

3) Primary Host Systems

See the text at the beginning of each of these indexes for further information about their coverage, conventions and limitations.

**Information Sources Used** - The primary source for the information in this directory was documents collected by the author specifically for this purpose over an approximate 3-year period. The author of this directory is also the author of *Biopharmaceutical Products in the U.S. and European Markets*, the only reference book/database concerning biopharmaceuticals (now in its 6th edition, 2 vol., 1602 pages). Besides deriving information about biopharmaceutical products manufacture from this source, as part of developing/maintaining this publication the author has long engaged in a continuous intensive competitive intelligence gathering and analysis program (i.e., he intensively reviews the world's press releases, industry newsletters, meeting abstracts and every other relevant publicly available information source). Even before starting recent work on this directory, the author had over 2,500 documents collected for use

in developing this directory. Thus, the author is confident that relevant technologies discussed in industry publications and at industry-oriented conferences in recent years have been included.

The monographs were largely assembled by modifying and piecing together text retrieved from diverse sources, mostly those available on the Internet (and within the bounds of fair use). Thus, those using this directory and doing their own research will likely be able to recognize text adapted from or extracted from Web sites, patents, articles, etc. However, in all cases, the author made sure to provide additional, value-added information and analysis. This includes providing what should be useful contact information, including use of the membership directory of the Licensing Executive Society (LES), the database of registered patent attorneys/agents at the U.S. patent office Web site, and otherwise finding E-mail addresses for relevant corporate contacts.

Other information sources and methods used in developing this directory include:

- 1) meeting announcements and abstracts - The world's major biotechnology-related conferences, particularly those with a commercial orientation or involving relevant sessions, have been monitored for several years.
- 2) literature searching - Some basic searching of the peer-reviewed biomedical literature, e.g. PUBMED, was performed, including searching for overview and review-type articles concerning broad platform technologies. In many cases, the biomedical literature was also searched concerning specific technologies.
- 3) patent searching - Much searching of U.S. patents and applications (primarily using U.S. patent office full-text databases) and international patents/ applications (primarily using EspaceNet) was performed. Besides patents often being required to explain or obtain basic descriptive information concerning technologies, patents very often provide analyses of related prior art (previous or competing technologies).
- 4) Web sites - The Web sites of essentially every company/organization included in this reference, and many others, were examined for technology-related information and to determine optimal contacts for licensing-related inquiries. This included checking the online technologies available for licensing listings of those organizations well known as sources of bioprocessing and genetic engineering technologies/ patents. For example, the University of California and NIH have consistently been among the leaders in obtaining U.S. genetic engineering patents; RCT is the licensor for several basic platform technologies, and the Boyce Thomson Institute and Texas A&M University are sources for various insect cell/ baculovirus expression technologies.
- 5) federal research funding and contracts - CRISP and other databases covering NIH and other federal agency research funding and contracts were searched. Thus, the various expression systems being developed largely with federal funding, mostly related to biodefense, are included, e.g., the DARPA, DOD, and NIAID, NIH, grants and contracts seeking to develop systems for rapid manufacture of large amounts of recombinant proteins, e.g., millions of doses of vaccines in just several months.
- 6) licensors/technology sources - The licensing contacts of hundreds of organizations, including the majority of those mentioned, were contacted by the author by E-mail, requesting public/publishable information about relevant technologies, particularly those available for licensing.

As further discussed, there are various reasons why many companies (vs. universities) are hesitant to provide information for directories. Many are unprepared for anyone requesting nonproprietary



information about their technologies available for licensing (making this directory all the more valuable). And despite it being counter-productive, technology transfer/licensing professionals, and many scientists/inventors involved in licensing and invention marketing simply prefer to avoid disseminating information about licensing opportunities. Many licensing professionals feel that technology transfer/licensing is best practiced, with public information dissemination viewed as a less sophisticated approach.

**Information Sources Not Used; Limitations/Caveats-** Bound by limitations of time and expenses, the author did not use a number of relevant information resources and acquisition methods (that directory users may want to follow-up with). For example, with over 300 technologies, if an information resource or acquisition method was not free, i.e., involved spending money, it almost certainly was not used. Thus, the author did not use high-end, fee-based online databases, e.g., DERWENT patent databases, online versions of *Chemical Abstracts*, etc. Some fee-based databases were searched using the online databases at a local university library, along with document delivery services, but primarily to retrieve review articles, not to retrieve information about specific technologies. Otherwise, the author concentrated on finding and summarizing information to provide useful, but not all, information about technologies' functions/characteristics, advantages and ownership. Thus, information retrieval was not exhaustive - the author stopped looking when seemingly adequate descriptive and ownership information was retrieved.

Users should exercise caution in interpreting what technologies are actually relevant or useful for! The author generally describes technologies much as described by their licensors and/or inventors. Many times, licensors/inventors tend to restrict their claims about functionality and utility only to what they have studied or documented, while other times they may be too expansive in their claims. The author's descriptions reflect the content of inventions-available-for-licensing descriptions, patent descriptions and claims, i.e., available information. For example, some descriptions (reflecting their source) are probably too broad in their claims, e.g., may be primarily or actually relevant to one or a few members of a class of organisms, while licensors/inventors claim utility for an entire class of organisms (e.g., an invention actually relevant to only human cells may be claimed as relevant to all mammalian cells or eukaryotes). Conversely, inventions may be described as relevant to xyz specific organisms or uses, but may actually be relevant to many others (e.g., an invention claiming relevance to *E. coli* may actually be useful with all bacteria or all organisms).

Also, be aware that many major sources of biopharmaceutical processing technology simply make it hard for anyone to find and approach them or figure out what licensable technologies they have. And, many technology sources are seemingly only interested in dealing with major players. For example, essentially all of the long-surviving biotechnology/biopharmaceutical companies, i.e., those around for several decades, have amassed considerable portfolios of patented and also unpatented proprietary manufacturing-related technologies. However, few technologies from these major companies, e.g., Genentech, Amgen, Biogen Idec, Wyeth/Genetics Inst., J&J/Centocor, etc., are included in this directory. Adequate information is simply unavailable, with essentially none of these companies publicly disclosing their manufacturing- or basic genetic engineering-related technologies available for licensing, their licenses granted or responding to the author's inquiries. Similarly, most every contract manufacturing organization (CMO) has likely developed in-house proprietary technology and/or licensed-in and is able to offer sublicenses or access to technologies from others. These technologies have been included where information was available, but following the general pattern, seemingly few CMOs bother to disclose their proprietary technologies in their public information or only do it in vague generalities [yet another paradox in the marketing (or lack of it) of biopharmaceutical manufacturing and related genetic engineering technologies].

For many users, examining all entries will be the most effective way to use this directory, in addition to using its organization into topical sections and its indexing. Knowledgeable persons will likely be able to see and make their own connections and conclusions about the relevance of technologies. Many technologies that may seem irrelevant, e.g, from their titles, placement and/or indexing, may actually provide new ways of approaching problems or provide improvements that you had not been looking for.

**Finding Further Information** - So, with this directory designed to get you started, what can or should you do after finding technologies of interest. Obviously, much depends on your particular interests. Your options include:

a) Search the world's publications, Web sites, patents, etc. Use Google and one or more complimentary Web search engines. Search the biological and chemical literature, e.g., PUBMED, use the online versions of *Chemical Abstracts*, *Biological Abstracts*, and do not ignore the chemical engineering literature, which may also have relevant information. Whether from going through their Web site and/or searching the Web, read up about the licensor organization and any related licensing track record. Use patent databases, including better fee-based ones, to retrieve further information about patents, e.g., what is their status, which countries are patents being sought in, etc. For old(er) technologies, e.g., those invented in the 1980s or with patents granted about 17 or more years ago, check to whether patents have expired in countries of interest. If so, you may not need to take a formal license. If a technology involves a biological material, e.g., cell line, and even if it is in the public domain, it cannot hurt to license this from the original source, vs. getting a derivative from a culture collection or commercial vendor. This may save considerable testing and avoid documentation problems with FDA and other regulatory agencies.

b) Network with and/or delegate or pass-upwards your inquiries to others in your organization, particularly your own technology transfer office or professionals. Licensor contacts, particularly licensing professionals, are more likely to respond to inquiries from other technology transfer professionals, patent attorneys, corporate executives, etc., vs. inquiries from scientists or mid-level managers.

c) Make contact with the licensor - The Company/Organization Index includes a contact point to initiate licensing-related inquiries. The response you get from these or other contacts may depend on your organizational affiliation, e.g., whether you are perceived as a potential client or competitor, and whether you are perceived as having licensing negotiation authority. Of course, it is always best to be prepared and as knowledgeable as one can be when interacting with licensor contacts, many of whom are already overworked with dealing with obtaining patents on inventions, negotiating licenses. It is probably best to volunteer up-front to sign non-disclosure agreements, even if you are only seeking public information, with this showing that yours is more a genuine licensing vs. simply an information or competitive intelligence gathering request. If you don't get a prompt response, make personal contact because many technology transfer professionals prefer personalized information dissemination and they prefer personal contacts before they respond.

Most every licensor will or should be able to offer serious inquirers various options, ranging from sending out information (which may require a non-disclosure agreement), material transfer agreements (MTAs) or other standard agreements allowing access/release of materials, e.g, cell lines or vectors, for further study, usually with many explicit limitations on use; licenses allowing limited in-house technology evaluation; and other options short of a full licensing with big up-front licensing payments and royalties on sales.

d) Contact the inventor(s). Besides being the most knowledgeable, they are more likely to be scientists, and will likely be more responsive at least in terms of providing you with public/published information

and even discussing your potential interest/application. And, many inventors make themselves available for you to hire as consultants or contractors.

e) If you want an outside expert(s)/consultant(s) to do further research and make initial contact, which could include not disclosing your identity contact the publisher, BioPlan Associates, Inc.; info@bioplanassociates.com; 301-921-9074.

# Monographs Table of Contents

## Broad/Platform Technologies

Entry Number

Monograph Titles

### Cell-free systems

100	Cell-free expression, ATP regeneration system .....	19
101	Cell-Free Protein Synthesis (Cell-Free) .....	19
102	Large ribosomal subunit proteins, E. coli - cell-free systems .....	22

### Broad, cross- or multi-platform technologies

103	In vivo linearization; InVoLin; Meganuclease Recombination System (MRS) - improved transformation .....	22
104	Vectors, site-specific recombinase assembly - eukaryotes .....	23
105	Glycosylation, mammalian [Generic entry] .....	23
106	Aminoglycoside phosphotransferase marker; Neomycin phosphotransferase I (nptI) marker; Geneticin (G-418) selection - universal .....	24
107	Cellulose binding domain (CBD) fusion protein affinity tags; pET-CBD - universal .....	25
108	Controllable Self-Cleaving Intein Derivative; IMPACT-CN; pH-sensitive self-cleaving fusion protein affinity purification tag - universal .....	25
109	Cotransformation, Columbia University - eukaryotes, selection .....	27
110	Cre-lox mediated in vitro recombination; Cyclization Recombination/locus of X-over P1; site-specific recombination (SSR) - universal; genetic recombination .....	29
111	deltaPhase; Elastin-like polypeptide (ELP) fusion protein tags - chromatography-free purification; universal .....	30
112	Directed Nuclease Editor (DNE); Meganuclease Design - universal .....	31
113	Dual expression vectors; Dual Affinity ReTargeting (DART) - antibodies; bacteria and mammalian cells .....	32
114	Expression enhancers, oligonucleotides - universal .....	33
115	Expression factory; baculoworkstation - automated parallel expression .....	33
116	Fusion protein expression systems; Affinity purification tags and chaperones - universal .....	34
117	Fusion proteins, self-cleaving, pH-sensitive - universal .....	34
118	Glutathione-S-transferase (GST) fusion protein affinity tags; pGEX vectors .....	35
119	GUS reporter system (beta-glucuronidase); GUS control vector - prokaryotes; plant cells; mammalian cells, non-vertebrate .....	36
120	Heat shock Promoters (HSPs); HSP chaperones .....	37
121	His tags; Poly-Histidine fusion affinity tag technology; 6xHistidine-tag - universal; purification tags .....	37
122	His-tags; Poly-Histidine fusion affinity tag technology - universal; purification tags .....	38
123	Hybridomas (Köhler and Milstein) - monoclonal antibodies .....	38

<i>Entry Number</i>	<i>Monograph Titles</i>	
124	Lambda recombination protein; Homologous recombination.....	39
125	Meganuclease Recombination System (MRS)/I-SceI; homologous recombination - universal genetic recombination .....	39
126	Mucin promoters; IIM14 and IIM22 - vector enhancers.....	41
127	New Cabilly; Cabilly-Boss; Monoclonal antibody 2-chains expression - universal .....	41
128	phCMV vectors; GenePORTER - universal .....	46
129	Poly(A) polymerase.....	46
130	Promoters.....	46
131	Recombinant DNA; Protein Expression; Cohen-Boyer .....	47
132	Reconstituting chemically orthogonal directed engineering (ReCODE) - Unnatural amino acids; UAAs; E. coli; yeasts; mammalian cells .....	49
133	Selectable markers; Selection of transformed cells; Reporter genes .....	50
134	Small Ubiquitin-like Modifier (SUMO) fusion protein tags; Split SUMOpro System; Ubl-specific protease - universal .....	51
135	Strep-tag affinity fusion protein tag; Strep-Tactin purification - universal .....	53
136	Super core promoters; SCP1; Core promoters - “the strongest [promoters] ever made” .....	54
137	TAGZyme; dipeptidyl aminopeptidase I (DPPI; DAPase Enzyme; cathepsin C) - cleavage of His tags; universal.....	54
138	TEV Protease; Tobacco Etch Virus (TEV) NIa protease - cleavage of fusion protein tags; universal .....	55
139	Transfection - universal .....	56
140	Translation Engineering expression; CODA; Computationally Optimized DNA Assembly; Hot Rod Genes; Controlled Ribosomal Pausing - universal .....	57
141	White collar complex (WCC) promoter; UV light induction - universal .....	59
142	Minos transposon cell transformation - insect larvae; also eukaryotes.....	60
143	Coconut Express cell-free translation - plants.....	60
<b>Prokaryotes</b>		
144	Bacterial cell expression technology (BCE); araB promoter - antibody fragments; E. coli; prokaryotes.....	61
145	Subtilisin (psub) fusion protein tag expression; Profinity eXact expression - E. coli; bacteria; yeasts; CHO cells .....	62
146	Tetracycline-induced expression repression - prokaryotes .....	63
<b>Bacteria</b>		
147	Bacillus megaterium expression - E. coli alternative .....	63
148	Bacillus subtilis, super-oxidizing strains; Thiol-disulfide oxidoreductases (TDORs); Thioredoxin A (TrxA) depletion - disulfide bridge optimization.....	64
149	Bacterial artificial chromosome (BAC) expression; pBAC vectors - bacteria .....	65
150	Caulobacter crescentus expression; PurePro Caulobacter Expression System - Caulobacter bacteria hosts .....	66
151	Clostridium Expression System; NTNH promoter from Clostridium botulinum.....	67



<i>Entry Number</i>	<i>Monograph Titles</i>	
152	Flavobacterium heparinum expression - glycoproteins .....	68
153	Lactococcus lactis htrA- expression - protease depletion .....	68
154	Lactose (lac) promoters; Isopropyl-beta-galactosidase (IPTG) induction - bacteria .....	70
155	NIsin-Controlled gene Expression (NICE); Lactococcus lactis expression; nisA promoter - antibiotic selection .....	70
156	P170 Expression System;Lactococcus lactis expression.....	71
157	Pfenex Expression; Pseudomonas fluorescens biovar I (MB101) - E. coli alternative.....	72
158	Plasmids stabilization.....	74
159	Pseudoalteromonas haloplanktis TAC125 (PhTAC125) - cold expression.....	74
160	Quasi-synthetic vectors; Synthetic gene sequences in vectors - bacteria.....	75
161	Ralstonia eutropha expression; Alcaligenes eutrophus expression.....	76
162	Rhodospirillum rubrum (bacterial) expression - membrane proteins.....	77
163	Staphylococcus carnosus expression .....	78
164	Subtilin Regulated Gene Expression; SURE competency - B. subtilis.....	79
165	E. coli expression/vectors .....	80
166	CASCADE expression; pALEX1 plasmids - E. coli.....	81
167	Choline-binding fusion affinity tags - bacteria .....	82
168	Clean Genome E. coli; Stripped-down E. coli .....	82
169	GroEL,GroES chaperones; Chaperonins - proper folding; universal; E. coli.....	83
170	Methylobacterium extorquens (bacterium) expression .....	84
171	CANGENUS; Streptomyces (lividans and griseus) expression .....	85
172	Saccharomyces cerevisiae expression .....	86
173	Streptomyces stationary phase expression; SPE system; Streptomyces vectors; Secreted Protease Production (SPP) System .....	86
174	Streptomycetes hyper-inducible expression; PnitA-NitR system; Caprolactam induction - Streptomycetes.....	87
<b>Yeasts</b>		
175	ApoLife Yeast Expression; S. cerevisiae Twin Cassette Plasmids - antibodies in yeast.....	88
176	Arxula adenivorans expression - alternative yeast.....	89
177	Chrysosporium lucknowense expression; C1 Express Hyperproducing Protein Expression System - fungi .....	90
178	CoMed system; Universal Yeast vectors; pCoMed vectors; Arxula adenivorans-derived TEF1 promoter.....	91
179	Fungal expression systems.....	92
180	GlycoFi technology; Next Generation Biotherapeutics - Pichia pastoris; yeasts; glycosylation; antibodies.....	92
181	Hansenula expression (yeast).....	93
182	Hansenula polymorpha (yeast) expression - E. coli alternative .....	94
183	Kluyveromyces lactis expression; pKLAC1; Acetamidase/Acetamide selection; K. lactis GG799 - yeast .....	95

<i>Entry Number</i>	<i>Monograph Titles</i>	
184	NeuBIOS expression; Neurospora crassa expression; NeuKARYON - filamentous fungi; glycosylation; Cabilly-Boss workaround .....	96
185	Neurospora expression; cotA promoter - fungi.....	98
186	Ophiostoma expression - ascomycetes fungi.....	98
187	Yeast expression systems .....	99
188	Zygosaccharomyces bailii expression; Zbleu2 strain - yeast .....	100
189	EASYEAST; Saccharomyces cerevisiae strains - easy protein release.....	101
190	Yeast cell lines and vectors; Saccharomyces cerevisiae cell lines - proper folding and glycosylation.....	101
191	Pichia pastoris expression .....	102
192	VelociMab; EESYR expression system; FASTR cell lines - CHO expression optimization; antibodies.....	104
<b>Plants</b>		
193	Plastid Transformation; Translation-based vectors (TBV) - plants .....	105
194	Chlamydomonas reinhardtii chloroplast expression; promoter - algae, single-cell .....	106
195	Chlamydomonas reinhardtii expression - algae, single-cell.....	106
196	Drosophila Expression System (DES) - insect cell culture .....	108
197	Streptomyces lividans .....	109
<b>Eukaryotes</b>		
198	Antibiotic inducible promoters - eukaryotes .....	109
199	AttSite recombinases - precise gene insertion; eukaryotes.....	110
200	Bovine growth hormone (bGH) polyadenylation sequence - eukaryotes; expression enhancement.....	110
201	Expression enhancers; Copy number increase - eukaryotic cells .....	111
202	Homologous Recombination; Knock-out/knock-in animals and cells.....	112
203	Internal Ribosome Entry Sequences (IRES) RNA translation enhancers; pCITE vectors; Cardiovirus 2A IRES; pIRES - eukaryotes.....	112
204	Light-switchable promoters .....	114
205	Tetracycline (Tc; Tet) Expression Systems - eukaryotes.....	114
206	Zinc finger DNA-binding proteins (ZFPs); ZFP Transcription Factors - gene modification; mammalian cells; plant cells .....	115
<b>Protozoa</b>		
207	Ciliate Performance Expression System; CIPEX system; Tetrahymena (protozoa) expression .....	117
208	LEXSY; Leishmania tarentolae expression system - protozoa.....	118
209	Perkinsus marinus expression - protozoa express large proteins .....	119
210	TetraExpress; Tetrahymena (protozoan) expression.....	119
211	Tetrahymena thermophila (protozoan) expression .....	120

*Entry Number**Monograph Titles***Animals, misc.**

212	Milk protein promoter - proteins in milk of transgenic animals.....	121
213	Shrimp expression; <i>Penaeus stylirostris</i> expression; Taura Syndrome Virus (TSV) IRES vectors - glycoproteins; antibodies.....	121
214	Transgenic rabbits - humanized polyclonal antibodies.....	122

**Mammalian**

215	AmProtein vectors - “strongest mammalian vector set”; universal.....	123
216	Anti-apoptosis expression system; BCL-xL or BCL-2 expressing cell lines - CHO, NS0, BHK, SP2/0-Ag14 .....	123
217	Autocatalytic cleavage sites; Mengo virus vectors; Scission cassettes - mammalian cells.....	124
218	Cell adhesion optimization; <i>cdk13</i> , <i>siat7e</i> , and <i>lama4</i> genes - antibody-expressing cells.....	124
219	CMV (human) promoter; Cytomegalovirus promoter; Complete Control Inducible Mammalian Expression System - mammalian cells.....	125
220	Cumate gene-switch; Q-mate Inducible Expression - mammalian cells .....	125
221	Dihydrofolate reductase (DHFR) System - selectable marker/amplification; CHO and NS0 cells .....	127
222	Flp-In expression system; FLP-Mediated Gene Modification in Mammalian Cells; FLP recombinase - mammalian cells.....	128
223	Gene-Activated (GA) expression, in vivo - mammalian cells .....	129
224	Glutamine synthetase (GS) System - NS0, CHO, mammalian cells .....	130
225	GPEX Gene Product Expression Technology - mammalian; CHO .....	131
226	MARtech; Matrix Attachment Regions; Scaffold Attachment Regions; SARs - mammalian cells .....	133
227	RheoSwitch Mammalian Inducible Expression System; RheoSwitch Ligand RSL1 promoter; Ecdysone receptor induction - mammalian cells; adjustable expression .....	134
228	Selexis Genetic Elements (SGEs) - mammalian cell lines.....	135
229	STabilizing Anti-Repression; STAR elements - expression enhancement; mamalian cells.....	136
230	Ubiquitous chromatin opening element (UCOE) expression - mammalian cells .....	136
231	Whey acidic protein (WAP) milk promoters - mammals.....	138

**Chinese hamster ovary (CHO) cells**

232	ACE Expression System - MAb-expressing CHO cells lines .....	139
233	Boehringer Ingelheim High Expression System (BI HEX); CHO-DG44 .....	139
234	CHO cell line (Puck); CHO-K1 cell line.....	140
235	CHO DG44 cells, DHFR-; CHO-DG44; DUK-XB11; CHO K1 DUX B11 (DHFR-) cells; Dihydrofolate reductase selection/amplification, CHO cells.....	141
236	CHO SSF cell lines - adherent CHO cells; protein-free media.....	142
237	CHO Supercell; Targeted transfection; CHO DG44 cell line .....	143
238	CHOZn CHO DG44 cell lines - antibodies .....	143
239	GS-CHO Protein Free System; CHOK1SV cell lines - protein-free media.....	143

<i>Entry Number</i>	<i>Monograph Titles</i>	
240	Sympress expression; Human polyclonal antibodies (rpAB) - CHO cells.....	144
241	Baby hamster kidney (BHK) 21 cells; ATCC CCL 10 .....	145
<b>Hybridomas</b>		
242	Human MORPHODOMA; Morphogenics; Hypermutation; PMS2 gene screening, modification - human monoclonal antibodies from hybridomas.....	145
243	Cell-free system - glycoproteins; hybridoma .....	146
244	Ex-Cell EBx expression; EBx cells; Chicken embryonic stem cells; Chicken EBx cells; Duck EBx cells .....	147
<b>Chickens/Poultry</b>		
245	Chicken egg expression; Transgenic animals .....	148
246	Chicken rimordial germ cells (PGCs) - Human proteins/monoclonal antibodies in chicken eggs... 149	
247	OVA System; Avian Transgenic Biomanufacturing - chicken eggs expresssion.....	150
248	Transgenic poultry; avian transgenesis and nuclear transfer - proteins in chicken eggs .....	152
249	Windowing Technology - transgenics avians/chickens.....	152
<b>Human</b>		
250	CEVEC Amniocyte Production (CAP) expression; Human amniocytes, immortalized.....	153
251	bcl-2 (p21) overexpressing NS0 cell lines - NS06A1(100)3 cell line - antagonize apoptosis; Mabs.....	153
252	Cell fusion, NS0 cells - antibodies .....	154
253	Cholesterol/3-ketosteroid reductase (p3-KSR) expression - cholesterol selection/induction of NS0 cells.....	155
254	GlycoExpress human cell lines; NM-F9 cell line - glycolysis .....	155
255	Human primary preB lymphocytes; HupreB cells - human monoclonal antibodies .....	156
256	NS0 murine myeloma cell line.....	157
257	NS0-PFCF cells; NS0 cells, protein- and cholesterol-free - antibodies.....	158
258	PER.C6 expression; Extreme density (XD) Technology - glycoproteins; antibodies.....	159
259	Retrotransposon vectors - transgenic avian/chicken cell culture .....	161
260	Sp2/0-Ag14 cells - protein-free media; antibodies .....	161
261	HEK 293 cell line, protein- and peptide-free (Hektor G) media; human embryonic kidney (HEK 293) cell line - .....	162
262	HEK 293 expression.....	162
263	HEK 293 expression.....	163
264	HEK293 cell lines.....	164
265	HEK293SFE cell line.....	165
266	HKB-11 (HKB11) expression; Hybrid of kidney and B cells - HEK-293 alternative.....	165
<b>Plants</b>		
267	Agrobacterium tumefaciens; Ti plasmids - transgenic plants.....	166
268	Antibiotic resistance markers - plants.....	167

<i>Entry Number</i>	<i>Monograph Titles</i>	
269	Chloroplast expression - plants .....	168
270	Chloroplast Transformation Technology (CTT) - plant cells .....	168
271	Coupled regeneration/ transformation, plants .....	169
272	GENEWARE expression; Tobacco mosaic virus (TMV) vectors - tobacco; plants .....	170
273	Glyco-Engineered Moss; Physcomitrella patens expression; moss expression promoting regions (MEPRs) - glycosylation; antibodies .....	171
274	iBioLaunch expression; Launch vectors - proteins and Mabs in plants .....	173
275	LEX System; Lemna (duckweed) expression - algae, whole plants.....	174
276	Nuclear transfer Cultured inner cell mass cells (CICM) - transgenic animals; cloning from somatic cells.....	176
277	Nuclear Transformation Suite, plants .....	177
278	Plant expression - glycosylation .....	177
279	pPIPRA vectors - plants; public domain .....	178
280	ProCellEx Plant Expression - plant cells; glycosylation .....	178
281	Proficia expression - transient expression, plants .....	179
282	RNA-dependent RNA polymerase (RdRP) - universal .....	179
283	Stratosome Biologics System; Oilbody expression; Safflower plant seed expression.....	180
284	Super-mas Plant Gene Promoter; Gelvin promoter; (Aocs)3AmasPmas - plants.....	181
285	TransBacter Gene Transfer System -plants; royalty-free .....	182
286	Ubiquitin linkage domain - multiple proteins in transgenic plants .....	183
287	Ubiquitin plant promoters.....	184
288	Zara technology; Protein body-inducing sequence (PBIS) fusion proteins; Recombinant protein body-like assembly (RPBLA); StorPro organelles (protein encapsulation); Prolamin fusion proteins - eukaryotes .....	184
289	CleanGene plant transformation .....	185
290	Plastids (chloroplasts) expression - plant cell culture .....	186
<b>Insects</b>		
291	High Five cell line (BTI-TN-5B1-4, ATCC CRL 10859); Trichopulsia ni cell line - baculovirus host cells; insect cell culture.....	187
292	Insect cells glycosylation.....	187
293	Insect cells glycosylation.....	188
294	Insect cells/Baculovirus expression systems; Baculovirus expression vector systems (BEVS) .....	189
295	PERLXpress; TRANSPILLAR larvae; Trichoplusia ni larvae expression - transformed caterpillars .....	190
296	Trichoplusia ni (cabbage looper) cell lines; BTI-TN-MG1; ATCC CRL 10860; BTI-TN-5B1-4; ATCC CRL 10859 .....	192
297	Trichoplusia ni (cabbage looper) cell lines; H5CL-B and H5CL-F; BTI-TN-5B1-4-derived insect cell lines .....	193
298	Baculovirus expression vector systems (BEVS).....	193



<i>Entry Number</i>	<i>Monograph Titles</i>	
299	InsectSelect Protein Expression System - insect cells; avoid baculoviruses .....	194
300	Mimic Sf9 Insect Cells - mammalian-like glycosylation .....	195
301	Polydnavirus vectors - insect cells; baculovirus alternative.....	195
302	Pre-occluded Virus (POV) baculovirus vectors; Insect cells, per os (oral) baculovirus infection .....	196
303	Spodoptera frugiperda Sf-21 cell line - baculovirus host insect cells .....	196
304	Spodoptera frugiperda Sf-9 cell line - baculovirus host insect cells .....	197
305	NusA E. coli fusion proteins - eukaryotes; protein solubilization .....	197

### **Other broad/universal and older technologies**

306	Enterokinase - fusion protein cleavage .....	198
307	Phage lambda promoters; PL promoter; PR promoter - E. coli.....	198
308	Phage T5 promoter .....	199
309	WI-38 cell line, Normal human fetal lung fibroblasts.....	199
310	Alkaline Phosphatase; Calf Intestinal Alkaline Phosphatase (CIAP) - prevent vector recircularization .....	200
311	Benzonase; Serratia marcescens endonuclease - polynucleotides breakdown.....	200
312	DNA Ligase (E. coli).....	200
313	Site-directed mutagenesis .....	201
314	T4 DNA Ligase .....	202
315	T4 RNA Ligase.....	202

### **More Specific and Component Technologies**

316	Altogen transfection; RNAi gene silencing .....	203
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### **Bacteria/Prokaryotes**

317	Profuse vectors; Cisperone chaperone fusion tags - E. coli; Saccharomyces cerevisiae .....	203
318	Bacterial transcription promoters.....	204
319	BresaGen fusion protein expression - E. coli.....	205
320	Cold-Induced expression - Bacillus subtilis.....	205
321	desA promoter, iron-regulated; DmdR repressors - Actinomycetes .....	205
322	E. coli. vectors; Mnt-Arc promoters; T1 and T2 rrnB ribosomal terminators - bacteria .....	206
323	pAVEway expression - E. coli and Pseudomonas .....	206
324	pTAT-HA plasmids - E. coli; bacteria .....	207
325	Twin-arginine translocation (Tat) system; Tat nanomachine - protein folding, then secretion; bacteria.....	207
326	VegI promoters - Bacillus subtilis and E. coli.....	208
327	Xer-cise gene excision; Xer recombinases - Bacillus subtilis .....	209
328	Agrobacterium tumefaciens RpoA co-expression transcriptional activator - E. coli .....	210

<i>Entry Number</i>	<i>Monograph Titles</i>	
329	Avidin affinity fusion protein affinity tags; Biotin purification; PinPoint Xa Protein Purification System - E. coli.....	211
330	Biogenics manufacturing technology packages - E. coli .....	212
331	BL21(DE3) competent E. coli cells .....	212
332	C-LYTAG affinity fusion protein tag; Streptococcus pneumoniae N-acetylmuramoyl-L-alanine amidase LytA - E. coli; purification .....	213
333	Campylobacter jejuni glycosylation genes; OTase of C. jejuni - glycosylation; E. coli .....	214
334	Chaperone expression plasmids; DnaK, DnaJ and GrpE chaperones - E. coli .....	215
335	cis-Acting Peptide chaperones - E. coli.....	216
336	Codon-Optimized, Expression-Ready E. coli Clones .....	216
337	Continuous culture - bacteria; E. coli .....	216
338	Disulfide isomerase coexpression; DsbC and DsbG - E. coli; disulfide bonds and folding .....	217
339	Elastin-like polypeptide (ELP) self-cleaving fusion protein tags - chromatography-free purification; E. coli.....	218
340	ExpressProtect; p26, SicA, and alpha-crystallin-type fusion protein tags - E. coli .....	219
341	High copy number plasmids; pBGP120 - E. coli .....	219
342	High transformation efficiency (Hte) competency - E. coli cells .....	220
343	His-Patch ThioFusion System; pThioHis vector - E. coli; fusion proteins .....	220
344	N(pro) fusion protein tag, self-cleaving; Swine fever virus N(pro) autoproteolysis; EDDIE - E. coli.....	221
345	OverExpress C41(DE3) and C43(DE3) - E. coli strains.....	222
346	OxIT plasmids; Oxalate/Formate Exchange Protein - E. coli .....	222
347	pBR322 - E. coli plasmid; antibiotic selection .....	223
348	pCold vectors; Cold Shock Protein A (cspA) promoters - E. coli, cold induction.....	224
349	pET Expression System; T7 promoter; pET Directional TOPO Cloning; Champion pET Expression Vectors; T7 RNA polymerase (T7 RNAP) - E. coli.....	224
350	pMAL Protein Fusion and Purification System; Maltose binding (MBP) fusion affinity tags; pMAL plasmids - antibody fragments; E. coli .....	227
351	Polyhydroxybutyrate (PHB) fusion tags, self-cleaving coexpressed with affinity medium - E. coli; universal .....	228
352	Red/ET recombination; ET cloning/ET recombination; GET recombination; Recombineering; $\lambda$ Red-mediated recombination; lambda-mediated recombination - E. coli .....	229
353	Skp and DsbC chaperone fusions - E. coli; secretion control .....	230
354	Tac promoters - E. coli .....	231
355	Tryptophan (trp) promoters - E. coli .....	231
356	WACKER Secretion System; E. coli K12-based secretion system - antibody fragments .....	232
357	Flavivirus vectors; Kunjin replicon vectors - prokaryotes; Streptomyces; prokaryotes.....	232
358	Streptomyces inducers .....	233
359	Streptomyces lividans strains; xysA promoters .....	233

**Entry Number****Monograph Titles****Yeasts**

360	AlcoFree Yeasts; <i>Saccharomyces cerevisiae</i> KOY.TM6* strains.....	234
361	ALEU2 marker; AHSB4 promoter; <i>Arxula adenivorans</i> expression.....	235
362	<i>Aspergillus niger</i> expression; <i>A. niger</i> A4 promoters - humanized antibodies .....	235
363	Aureobasidin A vectors (pAUR) - selectable marker in yeasts.....	236
364	Calnexin chaperone - <i>Hansenula polymorpha</i> ; yeasts .....	236
365	Chitin synthase (CHS1), Yeast growth factor, chitin synthase (CHS1) - yeast promoter discovery.....	237
366	Estradiol-dependent enhancer; Gal4-ER-VP16 - yeasts.....	237
367	Formaldehyde dehydrogenase (FLD1) promoter; Formaldehyde selection - <i>Pichia pastoris</i> ; yeasts .....	238
368	GAPFL promoter; Glyceraldehyde-3-phosphate dehydrogenase-derived promoter - yeasts .....	239
369	Gene Design, algorithmic - yeasts .....	239
370	Hypermutable yeast .....	240
371	PH05 promoter; Phosphate induction -yeasts.....	240
372	Vesicular fusion factor 2 protein (Vff2p) enhancer - yeast; bacteria; CHO cells .....	241
373	Vesicular fusion factor 2 protein (Vff2p) enhancer - yeasts.....	241
374	Xplor Vector System, yeast optimization.....	241
375	Antibody fragment expression - <i>Saccharomyces cerevisiae</i> .....	242
376	<i>Saccharomyces cerevisiae</i> , cold induction.....	243
377	Secretion Enhancer Vector System (SEVS); SecHancer vector - <i>Saccharomyces cerevisiae</i> ...	243
378	Mab Xpress Antibody Production System; <i>Pichia pastoris</i> - glycosylated antibodies .....	244
379	<i>Pichia</i> expression, rhamnose induction .....	245
380	<i>Pichia</i> GlycoSwitch System; Glycoswitch plasmids - yeasts; glycosylation .....	245
381	<i>Pichia pastoris</i> antibody expression .....	245
382	<i>Pichia pastoris</i> AOX1 promoters .....	246
383	<i>Pichia pastoris</i> “super yeast”; <i>Pichia pastoris</i> AOX1 promoters.....	247
384	Aminoglycoside adenyltransferase (aadA1) promoter - bacteria; eukaryotes.....	247
385	ColE1 plasmids, <i>E. coli</i> - prolonged viability.....	248

**Mammals**

386	CMV/R Promoter - eukaryotes.....	248
387	piggyBac transposon - eukaryotes; insect cells .....	249
388	Tax-inducible expression; Bovine leukemia virus (BLV) promoter - mammalian cells .....	250
389	BacMam; pBacMam vectors - mammalian vectors, baculovirus-based.....	250
390	Calnexin, calreticulin, Erp57, Hsp40, and Hsp70 chaperones - mammalian cells .....	251
391	CCT promoters - mammalian cells .....	251
392	ClonePixFL Selection - antibodies, mammalian cells .....	252
393	Hsp60, Hsp70, Hsp90, Hsp100 chaperones - mammalian cells .....	252

<i>Entry Number</i>	<i>Monograph Titles</i>	
394	IRF-1 estrogen receptor promoter; Estradiol induction - mammalian cells .....	253
395	Osteoclast-associated receptor (OSCAR) promoter - mammalian; CHO cells.....	253
396	pAccAB vectors - antibodies; mammalian cells .....	253
398	RP Shift; Senescence induction; PACE Expression Vector - mammalian cells; expression enhancement; antibodies .....	254
399	Semliki forest virus (SFV) vectors - mammalian and insect cells.....	255
<b>Chinese Hamster Ovary (CHO) cells</b>		
400	CHEFI expression; CHO elongation factor-1a (EF-1alpha) promoter - CHO cells.....	256
401	CHO cells - antibodies; serum-free media.....	256
402	CHO cells dhfr RNA interference; RNA silencing vectors - CHO cells .....	257
403	CSL4S-342 CHO cells (CHO-K1 CSL4S-342) .....	258
404	Osteoclast-associated receptor (OSCAR) promoter - mammalian; CHO cells.....	258
405	Pangen CHO expression.....	258
406	StableFast Biomanufacturing System; pBFdfhr.2 Expression Vector - CHO cells; antibodies.....	259
407	Tandem Chimeric Antibody Expression (TCAE) vectors; ANEX vectors; CHO cell line TCAE 8 (ATCC 9119); Kozak sequences, impaired - antibodies.....	260
408	UTR Clone Generation; UTRtech; "Cell Factories"; Gaussia luciferase signal peptides - Mabs supersecretion; CHO cells .....	261
409	DNA microinjection - transgenic animals, chickens.....	261
<b>HEK-293 cells</b>		
410	293ST-3F6 cell line; HEK-293 adapted to SFM .....	262
411	CRE-inducible expression; cyclic AMP response elements (CREs) - HEK-293 cells .....	262
412	HEK-293 expression.....	263
413	HEK-293 expression.....	263
414	pTT vectors for HEK-293E cells.....	263
<b>Plants</b>		
415	Magnifection; magnICON; Transgene Operating System (TOS) - antibodies; plants and plant cells .....	264
416	MARs PLUS; Matrix attachment regions PLUS - plants.....	266
417	Concert Plant-Cell-Produced system - tobacco plant cell culture .....	267
418	Phyton plant cell fermentation .....	268
419	ExpressTec expression; ExpressPro; ExpressMab - rice and barley; antibodies .....	268
<b>Insects</b>		
420	AcMNPV p35 apoptosis inhibition; Sf9P35AcV5-1 and Sf9P35AcV5-3 - insect cells, apoptosis resistance .....	269
421	AF 99 insect cell line .....	270
422	BL-Sf-21AE-CI 3 cell line - Insect cell lines, baculovirus hosts .....	270

<i>Entry Number</i>	<i>Monograph Titles</i>	
423	Cre/loxP Recombination-Mediated Cassette Exchange (Cre/loxP RMCE) - Drosophila (mosquitos).....	270
424	Drosophila expression.....	271
425	Drosophila melanogaster S2 cells; Drosophila-SFM.D.Mel-2 Cells; Schneider S2 Drosophila cells; S2 cells, SFM - insect cell culture .....	271
426	IE-1 (BmNPV 1.2 kb fragment) promoters; Bombyx mori actin promoters - insect cells .....	271
427	Insect cell lines - baculovirus hosts .....	272
428	Insect cells, per os (oral) baculovirus infection .....	273
429	Lymantria dispar nucleopolyhedrovirus and L. dispar 652Y (Ld652Y) cell lines - baculovirus host cells.....	274
430	pIEx baculovirus vectors; hr5 enhancer; ie1 immediate early promoter - insect cells; avoid baculovirus pathogenicity.....	274
431	Rhopalosiphum padi virus Internal Ribosome Entry Sequence (IRES); Picorna-like virus IRES; Drosophila IRES - insect cells; plant cells .....	275
432	Tni PRO; Trichoplusia ni cell line .....	276
433	BAC-TO-BAC Baculovirus Expression System; baculovirus shuttle vectors; bacmids - insect vectors produced in E. coli.....	277
434	BacTen System; p10 promoter vectors - insect cells .....	277
435	Baculovirus vectors and promoters - glycosylation.....	278
436	BestBac vectors; Autographa californica nuclear polyhedrosis virus (AcNPV) vectors - insect cells.....	278
437	Drosophila sialyltransferases - insect cells; glycosylation .....	279
438	Sapphire baculovirus expression - disulfide bond formation.....	279
439	Vankyrin enhanced baculovirus expression vector system (VE-BEVS); Vankyrin-enhanced cell lines (VE-CL).....	280

## Indexes

<b>Company/Organization Index .....</b>	<b>281</b>
<b>Subject Index .....</b>	<b>305</b>
<b>Primary Host/Organism Index.....</b>	<b>313</b>



# ***Expression Systems and Genetic Engineering Technologies: Opportunities for Innovators, CMOs and Product Developers***

by Ronald A. Rader

## **Introduction:**

New expression systems and recent improvements available for current systems have the potential to revolutionize the biopharmaceutical industry! As reflected by currently marketed products, since the advent of genetic engineering in the 1970s, there has been little basic change in the technologies used for commercial-scale manufacture of biopharmaceutical products. Nearly all current products are manufactured using much the same old, familiar technologies – primarily using *Esherichia coli* (*E. coli* bacterium), Chinese hamster ovary (CHO) cells and the yeast *Saccharomyces cerevisiae* (*S. cerevisiae*) as hosts – technologies invented in the 1970s and commercialized in the 1980s.

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# Biopharmaceutical Expression Systems and Genetic Engineering Technology

## Current and Future Manufacturing Platforms

**N**ew expression systems have the potential to revolutionize the biopharmaceutical industry! Until recently, there has been little basic change in the technologies used for commercial-scale manufacture of biopharmaceutical products. Nearly all current products are manufactured using much the same old, familiar technologies – primarily using *Escherichia coli* (*E. coli* bacterium), Chinese hamster ovary (CHO) cells and the yeast *Saccharomyces cerevisiae* (*S. cerevisiae*) as hosts – technologies invented in the 1970s. Today, a number of factors are rapidly changing the biopharmaceutical manufacturing environment. Scientific and technological advances offer significant advantages. Recombinant protein manufacture that typically involved multi-1000 liter bioreactors and dedicated facilities can now be accomplished using bioreactors an order of magnitude smaller.

**Expression systems** – These systems encompass the technologies needed to genetically modify organisms for the manufacture of recombinant proteins (including glycoproteins and antibodies). This book is perhaps the single most informative source concerning commercial biopharmaceutical product manufacturing-related expression systems and basic engineering technologies. The primary goal is to inform the user of the many technologies in commercial use and those claimed to be useful for commercial-scale manufacture of biopharmaceutical products. This directory should save the reader considerable time and effort in finding technologies relevant to his or her interests. It should reliably cover relevant technologies currently being used commercially, those being actively offered for licensing, those discussed in industry news sources and review articles, and those offered by leading genetic engineering and bioprocessing technology licensors.

**Coverage** - This directory concentrates on what is used or needed for upstream manufacture. Coverage concentrates on host cells/organisms, basic genetic engineering methods, recombinant constructs and the many technologies available to enable or improve expression of desired proteins, including glycoproteins and antibodies. This directory concentrates on the core genetic materials (e.g., host cell lines and organisms) and related methods and materials, e.g., vectors, promoters, selection and amplification methods, chaperones, etc., used or claimed useful for commercial-scale manufacture of biopharmaceutical products, primarily recombinant proteins and monoclonal antibodies.

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