

## **EXHIBIT 4 TO OKI DECLARATION**

I am the Provost's Professor of Communication, Journalism, Cinematic Art, and Education at the University of Southern California (USC) and am formerly the founder and co-director of the Comparative Media Studies Masters Program at the Massachusetts Institute of Technology (MIT). I have been studying media fandom in many different forms for more than three decades, seeing it as an important point of entry into understanding participatory culture, learning and politics in the era of networked communications. My 1992 book, *Textual Poachers: Television Fandom and Participatory Culture*, has been credited with helping to launch an academic field around the study of fans and fan cultures. Fan-related topics have surfaced many times across my seventeen plus books, including most prominently in *Science Fiction Audiences: Watching Star Trek and Doctor Who* (1995), *Fans, Bloggers, and Gamers: Media Consumers in the Digital Age* (2006), *Convergence Culture: Where Old and New Media Collide* (2006), *Spreadable Media: Creating Meaning and Value in a Networked Culture* (2013), and *By Any Media Necessary: The New Youth Activism* (2016). I serve on the editorial board of the two most prominent academic journals in this space, *Transformative Works and Cultures* and *The Journal of Fandom Studies*, and was the keynote speaker at the 2016 Fan Studies Network Conference. For almost 30 years, *Star Trek* and its fans have been a recurring reference point across this research, and I personally have been a *Star Trek* fan since the late 1960s.

I have been asked by the Defendants in this case to provide my opinion about the impact of fan fiction on *Star Trek*, and my opinion on whether *Prelude to Axanar* is transformative. I am being paid \$100 an hour for my work in this case.

## Star Trek Fan Culture

In this first section, I provide an overview of fan cultural production around *Star Trek*, which provides a context for understanding the current state of *Star Trek* fan filmmaking, and also suggests the complicated history of close partnership and collaboration between the commercial rights holders and the grassroots fan community.

Fans have played a particularly important role in the history of *Star Trek* as a media franchise. Gene Roddenberry courted fan support before the series ever reached the air, bringing the pilot episode to the World Science Fiction Convention, then the center for a mostly male, mostly literary-focused science fiction fandom that traced its own historical roots back to the pulp magazines of the late 1930s. Roddenberry and his staff also worked closely with Bjo and John Trimble to help organize a letter-writing campaign intended to demonstrate fan dedication and support for the series as it teetered on the edge of cancellation early in its network run. Roddenberry and the Trimbles organized and ran Lincoln Enterprises (originally *Star Trek Enterprises*) as a means of forging and strengthening fan relations at a time when networks tended to be focused on broad ratings rather than today's interest in viewer demographics and audience engagement. (For history of early *Star Trek* fandom, see Tulloch and Jenkins, 1995).



Fans have been rewriting, remixing, and restaging *Star Trek* from the very beginning: *Spockanalia*, believed to be the first *Star Trek* zine dedicated to fan fiction, appeared in September 1967; the first *Star Trek* fan convention occurred in April 1967. By 1975, fans such as Kandy Fong began mixing slideshows (using images purchased via Lincoln Enterprises) and music. By the early 1980s, fans were using VCRs to edit music videos using footage from videotaped episodes, in order to construct critical commentary on the originals (Coppa 2007).

The commercial producers have long used this fan interest to help promote the series: fan culture was celebrated in *Star Trek Lives!*, a nonfiction book published by three key early *Star Trek* fans Jacqueline Lichtenberg, Sondra Marshak, and Joan Winston (1975), with support from Roddenberry. This book served as a point of entry for the next generation of Trekkers. Marshak co-edited with Myrna Culbreath two commercial volumes of fan fiction, *Star Trek: The New Voyages* (Marshak and Culbreath 1976) and *Star Trek: New Voyages II* (Marshak and Culbreath 1977), published by Bantam Books with a foreword by Gene Roddenberry and introductions by the series' stars commenting on the individual stories. This project was taken by fans as a strong endorsement of the value of their contributions to the *Star Trek* universe.

Fan interest in recreating the original ships and technologies were fueled by the 1973 publication of a series of blueprints for the Enterprise and other related vehicles, a practice that continued each time the ship was redesigned for subsequent *Star Trek* films and television series (Rehak, Forthcoming). Contemporary media producers manufacture and market a whole range of secondary or ancillary products that emerge from their media franchises -- such as costumes, props, and action figures -- products that are sold precisely so that their fans, young and old, can develop their own fantasies set inside the universe's fictional realms. As early as 1974, a range of informal *Star Trek* re-enactment clubs formed, as people developed their own sets and costumes. These groups performed skits at fan conventions, engaged in various role play activities, and often began to produce amateur Super 8 and later videotape versions of their activities.

More recently, the creation and distribution of fan films and ongoing webseries has played a central role in *Star Trek* fan culture, often with strong partnerships between local fan organizations and various cast members, writers, and production personnel associated with the official production, collaborations strongly promoted by the production company as a means of building goodwill with their fan base, especially during periods when no new *Star Trek* related television content was being produced (Kozinets 2007). Female *Star Trek* fans also produce fanvids, music videos which remix footage from the original, set to appropriated pop songs, to provide insights into the characters and their relationships; fanvids are increasingly being distributed via sites such as Vimeo and YouTube, as well as through fan-specific vid-sharing platforms. The world of fan films, mostly produced by male or mixed gender groups of fans, and vids, mostly produced by female fans, rarely cross and indeed, many fan filmmakers remain unaware of the existence of some of these other forms of fan cultural production.

Those who have not spent time in and around fandom would be astonished by the scope and diversity of *Star Trek* fan culture -- the millions of stories and full length novels produced by amateur writers, the range of different kinds of performances and video productions that have been staged through the years, as people have found ways to pay tribute to a fictional franchise that has captured their imagination for more than 50 years. Educators (Jenkins and Kelly 2013) have increasingly recognized the power of such texts to inspire young writers to perfect their

communication skills and the same can be said for several generations of amateur media-producers who have learned to edit, shoot, write, and code special effects because they were inspired by *Star Trek*. It would be horrible if narrow understandings and rigid application of copyright law shut down the great public good that fan culture represents.

### **How Fans Appreciate the Value of *Star Trek***

In this section, I deal specifically with the value of fan cultural production to the culture at large and to the *Star Trek* franchise in particular.

Given the close historical relationship between *Star Trek*'s producers and its fans, I was somewhat surprised when I first learned of the conflicts that had emerged over *Prelude to Axanar*. There had been some back and forth between producers and fans over copyright issues, especially in the early days of the web. This earlier period was especially marked by over-reach as studios claimed much more extensive rights over any and all use of their materials than they were granted within current law and fans often felt powerless to confront corporate attorneys with many more resources than they had. An equilibrium had emerged in recent years, where legal actions had decreased and producers of all kinds of cult media had come to accept the value fan culture generates. Over time, the creative industry came to see fan productions (again, not just fan films) as creating value more than doing damage. CBS and Paramount acknowledge as much in their recently issued guidelines for fan filmmakers: "CBS and Paramount Pictures are big believers in reasonable fan fiction and fan creativity, and, in particular, want amateur fan filmmakers to showcase their passion for *Star Trek*." Keep in mind that fan works emerge from a place of appreciation in two senses — they are created from a love of the original materials *and* they also increase the value of those properties.

As I documented in *Convergence Culture: Where Old and New Media Collide* (Jenkins 2006), the media industry has learned to value fan engagement as a social currency at a moment of increased media options and declining consumer commitment. Fans are the most loyal audience segment, they are more likely to recognize and reward sponsors, they are most apt to watch regularly, they are most apt to search out new and additional content, and they are most likely to promote the series to their social network. Television in recent years has evolved from an appointment-based medium (one where we watch shows at regularly scheduled times) to an engagement-based medium (one where people actively track down the content they want to see and watch it through a broad array of different media platforms). Kevin Roberts (2005), the former CEO Worldwide of Saatchi & Saatchi, discusses contemporary brands and media properties as "love-marks" and describes their fans as "inspirational consumers," arguing that they are incredibly valuable in today's media-saturated environment: "[T]hey are the ones who promote and advocate for the brand. The ones...who suggest improvements and refinements, who create websites and spread the word. They are also the people who act as moral guardians for the brands they love." In that sense, *Star Trek* was ahead of the curve in thinking about the value of audience engagement.

In *Convergence Culture*, I draw parallels between the *Star Wars* fan film phenomenon (another media franchise that has generated a similar level of grassroots production) and the games industry, which has actively provided tools for amateur game designers to build extension on their platforms, and publicized the growth in order to sustain audience engagement and encourage experimentation and innovation. For example, game designer Will Wright (creator of *The Sims*, one of the most successful game franchises of all time) explains, "We see such benefit from

interacting with our fans. They are not just people who buy our stuff. In a very real way they are people who helped to create our stuff....We are competing with other properties for these creative individuals. All of these different games are competing for communities, which in the long run are what will drive our sales...Whichever game attracts the best community will enjoy the most success.” (Personal Interview) Rather than seeing fan works as competing with professional products for audience interest, the game industry sees amateur mods and other fan extensions as helping them stay competitive with rival commercial producers.

Fan films can be similarly understood as a site of innovation. USC’s Robert Kozinets (2007) has researched the *Star Trek* fan film community from a marketing perspective, drawing comparison to what MIT’s Eric Von Hippel (2006) has identified as the value of “lead users” in the manufacturing sector. Lead users are early adopters who also need to adapt the product to satisfy their own particular needs; lead users innovate in ways that are low risk for the original producer but may provide a wealth of insights about market demand. At a time when *Star Trek* has largely been out of production, fan films have been one of many ways to keep the franchise alive (even if they reach relatively small audiences). Allowing multiple low-cost and low-risk experiments, fan films modeled multiple strategies for how to make a *Star Trek* series in the 21<sup>st</sup> century. And fan filmmakers, much like other lead users, may be recruited by the company, bringing their insights about different genre strategies and audience interests with them. Historically, most professional science fiction writers, editors, artists, etc. got their start within fandom and both *Doctor Who* and *Star Wars* have raided fandom aggressively seeking new talent as they rebooted their franchises.

Some producers worry about these amateur texts displacing or competing with commercially produced texts, potentially decreasing their market. My research suggests the opposite is more likely the case (as the game industry mentioned above has recognized.) The commercial text will outdraw any fan-produced texts. Commercial producers have more resources to put behind its promotion and distribution. Moreover, anyone reading the fan text is in almost every case going to end up reading its commercial inspiration — after the fact if not before. When fans get really interested in something, they suck in as much information and insight as possible. The people who read fan fiction and watch fan films are likely to consume more, not less, of the commercially produced material than those who do not consume fan texts, just because they have a deeper engagement with the material.

The fan work depends on a reader with at least some superficial familiarity with the original and one could argue that fan texts, much like game mods, may extend the shelf life of the original by generating new generations of readers. The “canon” provides the baseline for the conversation. The author makes a statement; the fan creator proposes alternatives. That’s why fans draw a distinction between canon (the original text) and fanon (the works produced by other fans which may or may not be constraining on subsequent interpretations). In the case of many fan films, the focus is less on characters from the commercial text than other aspects of the world, such as starships and phasers or various alien races. Fan filmmakers have traditionally, though not always, created original characters and explored how they might operate within the fictional universe depicted on the series -- in many cases using their different approaches to command or commitments to the Prime Directive as an implicit contrast to the characters we know from the original series.

All of this suggests that fan producers have a strong vested interest in insuring that their readers are also consuming the commercial texts and that any new interest these amateur works create is

apt to expand the market for the canonical work. One should not underestimate the degree of loyalty fans feel towards original creators or their desire to protect the integrity of favored works.

### **The Transformative Work of Fandom**

In this section, I review the various ways that fan works make transformative use of material from the source text, in the process expanding the meaningfulness and value of the commercial franchise. Fan works will be understood here as critical commentary that deserves Fair Use protection.

Fan works rarely if ever simply reproduce the original -- they cannot match the commercial producers on their own grounds. Rather fan cultural productions represent transformative works. In a world where mass culture has such a dominant role, the public has a strong interest in being able to engage with, comment upon, reference, critique and reimagine commercially produced materials. Fan cultural production is born from a mixture of fascination and frustration. If fans were not drawn to the original work, they would not continue to engage with it beyond the boundaries of the official canon -- but if fans were not in some ways frustrated with the original, they would also not continue to rework and expand upon it. In her book, *The Democratic Genre*, Sheenagh Pugh (2006) has argued that fan cultural production responds to two competing urges -- "What else," a desire for "more of" the original (that is, more content than the commercial producers are providing) and "What If," a desire to get "more from" the original (that is, kinds of content that is not being produced, often because it appeals to niche or minority audience tastes). For these reasons, much fan fiction is written by women and others who are underserved by the original producers because they represent surplus audiences, audiences in addition to the core demographic the networks have actively courted around a particular franchise. Such viewers have to work harder to get the kinds of pleasures and meanings they want from programs produced with someone else in mind, and thus, they end up elaborating more through their fan cultural production.

Fan cultural production, thus, expands markets, creating interest and engagement amongst people who would not otherwise have been reached through the official marketing campaigns. Historically, producers of cult media have been more apt to tolerate or embrace such fan productions when they are seeking to broaden or sustain their markets and to police it more aggressively at times when they are starting to reach greater visibility with mainstream audiences, suggesting one possible explanation for why *Axanar* and other fan films are under fire now as Paramount and CBS are clearing the ground in the face of new *Star Trek* stories in production for both the cinema and television. Yet, even in times when the franchise is thriving, fans do not give up their claims on fair use.

American University's Peter Jaszi and Patricia Aufderheide (2008) worked with a team of the country's top legal scholars to develop some guidelines which DIY media producers can use for determining whether their remixing practices might be legally protected. They concluded that many fan productions do fall under fair use because they are transformative—they do not substitute for the original market, or simply copy or duplicate the original. Rather, fan films take that original material and do something different with it, including "parody, satire, criticism, commentary, admiration, celebration, mourning, etc." In the case of *Star Trek* fan films, critical commentary includes advocacy for alternative perspectives (such as *Hidden Frontier*'s strong

focus on LGBTQ characters given the contentious history of *Star Trek's* representations of sexuality, or, for that matter, the ways Michael Dorn and other cast-members worked with the producers of *Renegades* to advocate for a stronger role in the future of the franchise).

The Organization for Transformative Works (2012), a fan advocacy group, made the case to the U.S. Copyright Office that fan vids (which re-edit footage from the original set to music for the purposes of promoting their interpretations of the material) should be recognized as Transformative Use; they argued that fan vidders should be exempt, alongside, for example, documentary producers or media educators, from being charged with violating the law for removing DVD copy protection software in the pursuit of their work. And the U.S. Copyright office agreed, a decision that many think indicates how courts would be apt to rule in a similar case.

Fan Vids are an interesting test case, since on the one hand, they do edit and remix existing footage (unlike most *Star Trek* fan films) and on the other, they often make more overt critical commentary. The prevailing ethos amongst *Star Trek* fan filmmakers has focused on fan mastery as demonstrated by improving technical qualities and strong fidelity to the source material. Yet, we still need to understand these attempts to perfect craft or duplicate some aspects of the original source material in terms of a practice of citation. Fan works refer to the canonical texts and thus some degree of reference or duplication of the original material is necessary in order to establish their credibility as forms of cultural critique.

This goes to the very nature of fan culture: fans write stories and make films because they want to share insights they have into the characters, their relationships, and their worlds; they write stories and make films because they want to entertain alternative interpretations or examine new possibilities. These interpretations are debatable — indeed, fans spend a great deal of time debating the alternative interpretations of the characters which appear in their stories -- and to hold those debates, fans need to cite supporting evidence from the original text.

Fan stories are in no simple sense just “extensions”, “continuations” or “extra episodes” of the original series. Fan insights about the work get expressed not through nonfictional argumentation but rather through the construction of new stories. Just as a literary essay uses text to respond to text, fan fiction uses fiction to respond to fiction. That said, it is not hard to find all kinds of argumentation about interpretation woven through most fan produced texts. A good fanwork references key events or bits of dialogue to support its particular interpretation and so a certain amount of resemblance is essential in order for a fan work to be able to provide critical commentary on the original.

### **Prelude to Axanar as a Transformative Work**

For this section, I reviewed the video of *Prelude to Axanar* currently posted on YouTube, but I have not had access to any of the scripts currently under development for possible future production by *Axanar's* producers. Below, I spell out the ways that *Axanar* relates to the larger analysis of fan cultural production above.

*Prelude to Axanar* did not come out of the blue. I've described almost five decades of grassroots media production in response to *Star Trek*, media production that was courted and celebrated by

Roddenberry and his successors, Paramount, CBS, and others invested in the commercial franchise. This fan production has long been part of the story producers like to tell about why *Star Trek* matters and is part of the reason it has remained a viable intellectual property for so long. Certainly, the marketing and production capacities of Paramount and CBS establish the economic value of *Star Trek*, but they have still benefited in countless ways from the unpaid and often unacknowledged labor of fans, who have helped to maintain engagement in the property during leaner years in its cycle of production.

*Prelude to Axanar* is an exceptional work in terms of the quality of its performances, writing, and special effects, in terms of its contributions to the “fanon” around *Star Trek*, which is why it generated such excitement when it was released on YouTube and why the project received such generous support on Kickstarter. But, at its core, *Prelude to Axanar* is doing what all fan films tend to do and in that sense, it does not deserve to be singled out for legal sanction in a context where so much grassroots cultural production has been tolerated through the years. Not unlike a landowner who allows people to cut across his property for five decades, there is something arbitrary and punitive about choosing one particular trespasser and throwing the book at them.

*Prelude to Axanar* constructs its sense of operating in the same fictional world as original *Star Trek* by selective citations of the original series -- references to specific alien races (Vulcans, Klingons, Andorians), technologies (transporters, dilithium), organizations (Starfleet, United Federation of Planets), and rhetorical devices (Stardates), each of which help *Star Trek* fans to ground their experience of this original story in relation to the larger media franchise. A few elements here -- such as the use of John Gill, a character who appears in “Patterns of Force” as the official historian -- do refer to specific episodes, but most of the elements deployed are recurring aspects or details scattered across a broad range of different *Star Trek* texts. *Star Trek* producers have published Klingon dictionaries and language tapes, encouraging fans to learn the language developed in the films, and deploy it for their own role play activities, so does it really become problematic to speak small phrases of this language in front of a video camera?

Watching the video closely, I am struck by how much the producers create a sense of *Star Trek*-ness through suggestion, by evoking larger conventions of the space opera genre that *Star Trek* itself shares with a broad range of other texts -- the use of military command structures, the focus on multiplanetary/multiracial collaboration, the use of classical mythology to inspire the names of particular ships and planets, the use of imagery from technological utopian science fiction art as the basis for depicting futuristic cities, the use of epic classical music tropes for the soundtrack. Such practices evoke *Star Trek* without infringing it, just as *Star Trek* itself tapped a larger genre tradition of space opera.

Yes, *Axanar* does feel like a *Star Trek* movie, yet so much of what gives us that impression comes not from directly copying the source material so much as tapping similar genre traditions. We do not have trouble imagining the various military heroes depicted here as operating within the fictional world of *Star Trek*, but they are modeled as much on real world war heroes as on any specific character from the commercial canon. Like other fan fiction writers and filmmakers, *Axanar*'s producers have sought to fill in a missing chapter in the larger *Star Trek* saga -- the Four Years War which helped define the relations between Klingons, humans, and Vulcans. We might think of this focus as reflecting the “what else” and “what if” impulses that shape many fan works (Pugh, 2006).



Perhaps the most original element here is the use of a pseudo-documentary format, one inspired loosely by the works of Ken Burns, especially *The Pacific* and *The Civil War*. This approach is clever because it allows the grassroots media makers to lower production costs by telling as much or more than showing and by focusing often on close-ups of the actors rather than epic special effects sequences, though *Axanar* also pulls off the later. It is not the first fan film to reconstruct a fictional world through documentary -- see for example Kevin Rubio's *Troops* in the *Star Wars* fan culture which models stormtroopers after the Fox reality series, *Cops*. And the parallels to Ken Burns are not absolute -- we get none of the pan and scan practices that have gotten labeled as the Ken Burns effect. The structure of including straight to camera interviews with the principals frames the battles from multiple points of view, telling us what these events mean to the various alien races who participated in the struggle, and as with *The Civil War*, it allows viewers to be emotionally torn as we come to respect the motives and accomplishment of partisans fighting on both sides of this great conflict.

There is a strong focus throughout on the human costs of war, rather than the romanticization of space battles as larger-than-life adventure that characterizes most Hollywood entertainment -- one battle, for example, is described as a "blood bath." We can understand this focus on sacrifice as an implicit critique of the source text, which often pays little or no attention to the countless red shirts who get blasted away to protect the *Star Trek* regulars. The series follows certain ideological norms around infinite diversity in infinite combinations (to draw on a particular Vulcan formulation) that are widely shared by *Star Trek* fans -- we see a female commander who plays a decisive role in the battle in contrast to the promise of female equality that *Star Trek* producers have often failed to deliver upon. And some of the emotional force here comes from the admiration begrudgingly given to the human protagonists from their Klingon or Vulcan counterparts -- here, as in *Trek* itself, there's a celebration of human beings' "unique" characteristics and accomplishments, though keep in mind that the issue of what makes us human runs across the American science fiction tradition more generally.

In short, the producers are indeed judicious in what they draw from the official source text, using only what is essential, while transforming it much more than simply replicating it. As a fan, I would value this film because it taught me a new way to look at the depiction of military conflict within *Star Trek*, because it allows me access to new characters and events that have not been covered within the official mythology. As an older fan, with fond memories of the original *Star Trek* and the *Star Trek: The Next Generation* series, *Axanar* reminds me of classical values associated with early chapters of the series, whereas the more recent feature films have explicitly sought to court new audiences. This reminder of what I loved about *Trek*, though, could well motivate me and other fans to seek out episodes of those earlier shows via iTunes or on DVD, creating a new cycle of consumption around material that is not necessarily being currently marketed by the franchise owners, suggesting the value of fan culture production in terms of strengthening or maintaining engagement. I see *Prelude to Axanar* as a transformative work.



Henry Jenkins

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