

ANNUAL REPORT DATA

I. DISCLOSURE ACTIVITY	FY12	FY13	FY14	FY15	FY16
Intellectual Property Disclosures Reported					
Germplasm	9	5	22	18	4
Bio-Life & Ag	35	35	39	36	36
Chemistry-Chem. Engineering	29	28	25	42	54
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	29	30	27	34	50
Total Disclosures Received	102	98	113	130	144
Total Disclosures in Portfolio	537	518	532	536	610
Disclosures Received by Source of Funding					
Federal	58	40	53	82	52
State	2	6	3	6	5
Industry	15	11	13	6	31
Commodity	12	5	29	26	8
Foundation	8	6	5	5	9
No External Funding	22	40	38	33	44
II. PATENT ACTIVITY	FY12	FY13	FY14	FY15	FY16
Patent Prosecution					
U.S. Provisional Patent Application Filings	29	20	28	34	53
U.S. Non-Provisional Patent Application Filings (1)					
Plant Germplasm	0	0	0	0	0
Bio-Life Sciences & Ag.	16	14	14	11	21
Chemistry-Chem. Engineering	20	14	12	13	18
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	20	11	13	13	10
Total US Non-Provisional Patent Applications Filed	56	39	39	37	49
Total US Patent Applications Filed	85	59	67	71	102
Patent Applications - First Filings (2)					
Provisional	29	20	28	33	53
Utility	39	28	8	31	7
PCT	0	0	1	3	0
Total First Filings	68	48	37	67	60
Patent Applications - Secondary Filings					
Provisional	0	0	0	0	0
Non-Provisional US (excluding PCTs)	18	11	23	3	37
PCT	10	6	9	2	8
Total Secondary Filings	28	17	32	5	45
U.S. Patents Issued					
Plant Germplasm	0	0	0	0	0
Bio-Life Sciences & Ag.	6	7	12	8	3
Chemistry-Chem. Engineering	2	9	4	11	6
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	8	8	17	12	6
Total US Patents Issued	16	24	33	31	15
US Patent Application Portfolio	145	149	123	100	118
Total U.S. Patent Portfolio	389	347	322	296	270
Total U.S. Patent Portfolio Ever Licensed/Optioned	n/a	185	161	139	141

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III. LICENSING ACTIVITY (3)	FY12	FY13	FY14	FY15	FY16
Startups	0	2	3	4	6
License Agreements					
Germplasm	32	61	35	78	60
Technology	9	16	9	18	12
Option Agreements	9	2	15	12	12
Total Commercial Agreements	50	79	59	108	84
Total Commercial Agreements to IA Companies	19	38	19	61	45
Other Agreements related to Licensing Activities:					
Germplasm MTA's	17	26	18	14	2
Technology MTA's	29	21	18	41	27
Total Material Transfer Agreements	46	47	36	55	29
CDA's	31	24	28	27	40
Plant germplasm R & D Agts	11	15	12	7	7
Administrative Agreements (4)	3	4	1	1	10
Miscellaneous Agreements (5)	10	14	15	24	6
Technologies Licensed/Optioned First Time					
Germplasm	8	2	14	12	0
Bio-Life Sciences & Ag.	7	4	11	9	3
Chemistry-Chem. Engineering	11	2	4	0	7
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	7	4	1	12	8
Total Technologies	33	12	30	33	18
Technology Agreements with Income: (6)					
Over \$1M / FY	1	1	1	1	1
\$100K - \$1M / FY	6	6	7	6	5
\$10K - \$100K / FY	30	33	34	26	28
< \$10K / FY	69	62	55	52	38
Total Technology Agreements with Income	106	102	97	85	72
Total Agreements with Income (Technology & Germplasm) (6)					
Over \$1M / FY	1	1	1	1	1
\$100K - \$1M / FY	6	6	7	6	5
\$10K - \$100K / FY	34	41	40	33	35
< \$10K / FY	147	125	128	117	106
Total Agreements with Income	188	173	176	157	147
Portfolio of Active Licenses					
Germplasm	181	238	156	203	227
Technology	147	141	102	110	108
Option Agreements	12	10	20	26	26
Total Active License and Option Portfolio	340	389	278	339	361
IV. AWARDS AND SALES	FY12	FY13	FY14	FY15	FY16
ISU Specialty Soybean Germplasm					
Bushels Planted & Royalty, Iowa Companies					
Bushels Planted	10,440	9,900	8,640	5,609	23,540
Royalty	\$ 34,508	\$ 52,167	\$ 29,909	\$ 23,801	\$ 84,777
Calendar Year Sales of ISU Technologies (3)	CY11	CY12	CY13	CY14	CY15
IA Companies	\$ 101,073,000	\$ 45,396,000	\$ 21,004,000	\$ 8,094,000	\$ 5,726,000
Non-IA Companies	\$ 585,408,000	\$ 601,751,000	\$ 294,458,000	\$ 74,611,000	\$ 78,624,000
Total	\$ 686,481,000	\$ 647,146,000	\$ 315,462,000	\$ 82,705,000	\$ 84,351,000
% IA to total	15%	7%	7%	10%	7%

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V. INCOME AND EXPENSES	FY12	FY13	FY14	FY15	FY16
Income Related to Licensing Activity (7)					
Germplasm Income					
Plant Germplasm/Not Patented	\$ 165,000	\$ 153,000	\$ 134,000	\$ 249,000	\$ 317,000
AFA Soybean Varieties Patented	\$ 29,000	\$ 77,000	\$ 41,000	\$ 23,000	\$ 13,000
Total Germplasm Income	\$ 194,000	\$ 230,000	\$ 175,000	\$ 272,000	\$ 331,000
Flexible Solutions B&C Income & Ed. Mat Technology Income	n/a	n/a	n/a	\$ 276,000	\$ 235,000
Technology Licenses	\$ 9,849,000	\$ 9,102,000	\$ 4,461,000	\$ 2,625,000	\$ 2,757,000
Jointly Owned Technology Licenses	\$ 64,000	\$ 188,000	\$ 394,000	\$ 357,000	\$ 547,000
Option Agreements	\$ 31,000	\$ 61,000	\$ 59,000	\$ 64,000	\$ 74,000
Total Technology Income	\$ 9,944,000	\$ 9,351,000	\$ 4,915,000	\$ 3,047,000	\$ 3,378,000
Total for All Licensing Activity	\$ 10,138,000	\$ 9,581,000	\$ 5,090,000	\$ 3,595,000	\$ 3,943,000
Technology Income & Expenses					
Income from Licensing Activity					
Technology Royalty Income	\$ 9,902,000	\$ 9,102,000	\$ 4,584,000	\$ 3,217,000	\$ 3,583,000
Expense Reimbursement	\$ 236,000	\$ 479,000	\$ 507,000	\$ 378,000	\$ 360,000
Research Income	\$ -	\$ -	\$ -	\$ -	\$ -
Total for All Licensing Activity	\$ 10,138,000	\$ 9,581,000	\$ 5,090,000	\$ 3,595,000	\$ 3,943,000
Expenses from Invention & Licensing Activity					
Patent Prosecution & Maintenance Expense	\$ 1,028,000	\$ 1,002,000	\$ 1,121,000	\$ 1,012,000	\$ 1,247,000
Licensing	\$ 18,000	\$ 24,000	\$ 3,000	\$ 17,000	\$ 11,000
Infringement/Litigation	\$ 99,000	\$ 11,000	\$ 72,000	\$ 26,000	\$ 45,000
General Legal	\$ 34,000	\$ 17,000	\$ 6,000	\$ 14,000	\$ 11,000
Royalty Sharing to ISU Parties	\$ 5,190,000	\$ 4,376,000	\$ 2,870,000	\$ 1,770,000	\$ 1,894,000
Royalty Sharing to Others	\$ 308,000	\$ 1,646,000	\$ 395,000	\$ 35,000	\$ 144,000
Research Support - ISU	\$ -	\$ -	\$ -	\$ -	\$ -
Total Expenses from Invention & Licensing Activity	\$ 6,677,000	\$ 7,076,000	\$ 4,467,000	\$ 2,874,000	\$ 3,352,000
Net Income	\$ 3,461,000	\$ 2,505,000	\$ 623,000	\$ 721,000	\$ 591,000
% of Patent Prosecution & License Expense Reimbursed	23%	48%	45%	37%	29%
Royalty Sharing with Academic Units (8)					
Agriculture/Exp. Station	\$ 466,000	\$ 438,000	\$ 632,000	\$ 620,000	\$ 696,000
Engineering	\$ 25,000	\$ 50,000	\$ 4,000	\$ 11,000	\$ 7,000
Veterinary Medicine	\$ 49,000	\$ 63,000	\$ 156,000	\$ 101,000	\$ 134,000
Liberal Arts & Sciences	\$ 13,000	\$ 26,000	\$ 5,000	\$ 15,000	\$ 3,000
IPRT	\$ 9,000	\$ 3,000	\$ 1,000	\$ 9,000	\$ 6,000
Ames Lab	\$ 1,813,000	\$ 1,707,000	\$ 979,000	\$ 47,000	\$ 22,000
Provost and Extension	\$ 2,000	\$ 1,000	\$ -	\$ -	\$ -
All Units Total	\$ 2,378,000	\$ 2,288,000	\$ 1,777,000	\$ 803,000	\$ 867,000
Income Statement					
Operating Revenues	\$ 10,149,000	\$ 9,588,000	\$ 5,319,000	\$ 3,595,000	\$ 3,943,000
*Investment Income (realized and unrealized)	\$ (190,000)	\$ 2,781,000	\$ 4,515,000	\$ 786,000	\$ (80,000)
Total Income	\$ 9,959,000	\$ 12,369,000	\$ 9,834,000	\$ 4,381,000	\$ 3,863,000
Operating Expense	\$ 7,453,000	\$ 8,683,000	\$ 6,271,000	\$ 4,795,000	\$ 5,091,000
Grant Expense	\$ 1,134,000	\$ -	\$ -	\$ -	\$ -
Total Expense	\$ 8,587,000	\$ 8,683,000	\$ 6,271,000	\$ 4,795,000	\$ 5,091,000
Increase or (Decrease) in Net Assets	\$ 1,372,000	\$ 3,686,000	\$ 3,563,000	\$ (414,000)	\$ (1,228,000)
Balance Sheet					
Investments: Marketable Securities	\$ 28,979,000	\$ 28,686,000	\$ 32,995,000	\$ 32,687,000	\$ 31,177,000
Other Assets	\$ 7,079,000	\$ 10,513,000	\$ 6,501,000	\$ 3,561,000	\$ 3,942,000
Total Assets	\$ 36,058,000	\$ 39,199,000	\$ 39,496,000	\$ 36,248,000	\$ 35,119,000
Total Liabilities	\$ 8,767,000	\$ 8,222,000	\$ 4,955,000	\$ 2,122,000	\$ 2,222,000
Net Assets	\$ 27,291,000	\$ 30,977,000	\$ 34,541,000	\$ 34,126,000	\$ 32,897,000
Total Liabilities and Net Assets	\$ 36,058,000	\$ 39,199,000	\$ 39,496,000	\$ 36,248,000	\$ 35,119,000
Investments					
Amortized Cost(Book Value)	\$ 29,724,000	\$ 27,133,000	\$ 27,358,000	\$ 27,192,000	\$ 26,332,000
Market Value	\$ 28,979,000	\$ 28,686,000	\$ 32,995,000	\$ 32,687,000	\$ 31,177,000