

## ANNUAL REPORT DATA

I. DISCLOSURE ACTIVITY	FY13	FY14	FY15	FY16	FY17
Intellectual Property Disclosures Reported					
Germplasm	5	22	18	4	1
Bio-Life & Ag	35	39	36	36	36
Chemistry-Chem. Engineering	28	25	42	54	55
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	30	27	34	50	38
<b>Total Disclosures Received</b>	<b>98</b>	<b>113</b>	<b>130</b>	<b>144</b>	<b>130</b>
<b>Total Disclosures in Portfolio</b>	<b>518</b>	<b>532</b>	<b>536</b>	<b>610</b>	<b>629</b>
Disclosures Received by Source of Funding					
Federal	40	53	82	52	67
State	6	3	6	5	3
Industry	11	13	6	31	10
Commodity	5	29	26	8	7
Foundation	6	5	5	9	1
No External Funding	40	38	33	44	49
II. PATENT ACTIVITY	FY13	FY14	FY15	FY16	FY17
Patent Prosecution					
U.S Provisional Patent Application Filings	20	28	34	53	67
U.S. Non-Provisional Patent Application Filings (1)					
Plant Germplasm	0	0	0	0	0
Bio-Life Sciences & Ag.	14	14	11	21	5
Chemistry-Chem. Engineering	14	12	13	18	33
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	11	13	13	10	12
<b>Total US Non-Provisional Patent Applications Filed</b>	<b>39</b>	<b>39</b>	<b>37</b>	<b>49</b>	<b>50</b>
<b>Total US Patent Applications Filed</b>	<b>59</b>	<b>67</b>	<b>71</b>	<b>102</b>	<b>117</b>
Patent Applications - First Filings (2)					
Provisional	20	28	33	53	67
Utility	28	8	31	7	3
PCT	0	1	3	0	1
<b>Total First Filings</b>	<b>48</b>	<b>37</b>	<b>67</b>	<b>60</b>	<b>71</b>
Patent Applications - Secondary Filings					
Provisional	0	0	0	0	0
Non-Provisional US (excluding PCTs)	11	23	3	37	44
PCT	6	9	2	8	7
<b>Total Secondary Filings</b>	<b>17</b>	<b>32</b>	<b>5</b>	<b>45</b>	<b>51</b>
U.S. Patents Issued					
Plant Germplasm	0	0	0	0	0
Bio-Life Sciences & Ag.	7	12	8	3	9
Chemistry-Chem. Engineering	9	4	11	6	10
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	8	17	12	6	8
<b>Total US Patents Issued</b>	<b>24</b>	<b>33</b>	<b>31</b>	<b>15</b>	<b>27</b>
<b>US Patent Application Portfolio</b>	<b>149</b>	<b>123</b>	<b>100</b>	<b>118</b>	<b>121</b>
<b>Total U.S. Patent Portfolio</b>	<b>347</b>	<b>322</b>	<b>296</b>	<b>270</b>	<b>255</b>
<b>Total U.S. Patent Portfolio Ever Licensed/Optioned</b>	<b>185</b>	<b>161</b>	<b>139</b>	<b>141</b>	<b>126</b>

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<b>III. LICENSING ACTIVITY (3)</b>	<b>FY13</b>	<b>FY14</b>	<b>FY15</b>	<b>FY16</b>	<b>FY17</b>
Startups	2	3	4	6	10
License Agreements					
Germplasm	61	35	78	60	44
Technology	16	9	18	12	18
Option Agreements	2	15	12	12	23
<b>Total Commercial Agreements</b>	79	59	108	84	85
<b>Total Commercial Agreements to IA Companies</b>	38	19	61	45	39
Other Agreements related to Licensing Activities:					
Technology CDA's	24	28	27	40	37
Technology MTA's	21	18	41	27	35
Plant germplasm R&D And MTA Agts	41	30	21	9	6
Administrative Agreements (4)	4	1	1	10	7
Miscellaneous Agreements (5)	14	15	24	6	0
Technologies Licensed/Optioned First Time					
Germplasm	2	14	12	0	1
Bio-Life Sciences & Ag.	4	11	9	3	10
Chemistry-Chem. Engineering	2	4	0	7	9
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	4	1	12	8	17
<b>Total Technologies</b>	12	30	33	18	37
Technology Agreements with Income: (6)					
Over \$1M / FY	1	1	1	1	1
\$100K - \$1M / FY	6	7	6	5	6
\$10K - \$100K / FY	33	34	26	28	25
< \$10K / FY	62	55	52	38	58
<b>Total Technology Agreements with Income</b>	102	97	85	72	90
Total Agreements with Income (Technology & Germplasm) (6)					
Over \$1M / FY	1	1	1	1	1
\$100K - \$1M / FY	6	7	6	5	6
\$10K - \$100K / FY	41	40	33	35	40
< \$10K / FY	125	128	117	106	152
<b>Total Agreements with Income</b>	173	176	157	147	199
Portfolio of Active Licenses					
Germplasm	238	156	203	227	229
Technology	141	102	110	108	116
Option Agreements	10	20	26	26	32
<b>Total Active License and Option Portfolio</b>	389	278	339	361	377
<b>IV. AWARDS AND SALES</b>	<b>FY13</b>	<b>FY14</b>	<b>FY15</b>	<b>FY16</b>	<b>FY17</b>
ISU Specialty Soybean Germplasm					
Bushels Planted & Royalty, Iowa Companies					
Bushels Planted	9,900	8,640	5,609	23,540	18,415
Royalty	\$ 52,167	\$ 29,909	\$ 23,801	\$ 84,777	\$ 89,196
Calendar Year Sales of ISU Technologies (3)	<b>CY12</b>	<b>CY13</b>	<b>CY14</b>	<b>CY15</b>	<b>CY16</b>
IA Companies	\$ 45,396,000	\$ 21,004,000	\$ 8,094,000	\$ 5,726,000	\$ 9,861,000
Non-IA Companies	\$ 601,751,000	\$ 294,458,000	\$ 74,611,000	\$ 78,624,000	\$ 85,114,000
<b>Total</b>	\$ 647,146,000	\$ 315,462,000	\$ 82,705,000	\$ 84,351,000	\$ 94,975,000
<b>% IA to total</b>	7%	7%	10%	7%	10%

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V. INCOME AND EXPENSES	FY13	FY14	FY15	FY16	FY17
<b>Income Related to Licensing Activity (7)</b>					
<b>Germplasm Income</b>					
Plant Germplasm/Not Patented	\$ 153,000	\$ 134,000	\$ 249,000	\$ 317,000	\$ 364,000
AFA Soybean Varieties Patented	\$ 77,000	\$ 41,000	\$ 23,000	\$ 13,000	\$ 6,000
<b>Total Germplasm Income</b>	<b>\$ 230,000</b>	<b>\$ 175,000</b>	<b>\$ 272,000</b>	<b>\$ 331,000</b>	<b>\$ 370,000</b>
<b>Flexible Solutions B&amp;C Income &amp; Ed. Mat Technology Income</b>					
Technology Licenses	\$ 9,102,000	\$ 4,461,000	\$ 2,625,000	\$ 2,757,000	\$ 3,654,000
Jointly Owned Technology Licenses	\$ 188,000	\$ 394,000	\$ 357,000	\$ 547,000	\$ 367,000
Option Agreements	\$ 61,000	\$ 59,000	\$ 64,000	\$ 74,000	\$ 132,000
<b>Total Technology Income</b>	<b>\$ 9,351,000</b>	<b>\$ 4,915,000</b>	<b>\$ 3,047,000</b>	<b>\$ 3,378,000</b>	<b>\$ 4,152,000</b>
<b>Total for All Licensing Activity</b>	<b>\$ 9,581,000</b>	<b>\$ 5,090,000</b>	<b>\$ 3,595,000</b>	<b>\$ 3,943,000</b>	<b>\$ 4,657,000</b>
<b>Technology Income &amp; Expenses</b>					
<b>Income from Licensing Activity</b>					
Technology Royalty Income	\$ 9,102,000	\$ 4,584,000	\$ 3,217,000	\$ 3,583,000	\$ 4,021,000
Expense Reimbursement	\$ 479,000	\$ 507,000	\$ 378,000	\$ 360,000	\$ 636,000
Research Income	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Total for All Licensing Activity</b>	<b>\$ 9,581,000</b>	<b>\$ 5,090,000</b>	<b>\$ 3,595,000</b>	<b>\$ 3,943,000</b>	<b>\$ 4,657,000</b>
<b>Expenses from Invention &amp; Licensing Activity</b>					
Patent Prosecution & Maintenance Expense	\$ 1,002,000	\$ 1,121,000	\$ 1,012,000	\$ 1,247,000	\$ 1,396,000
Licensing	\$ 24,000	\$ 3,000	\$ 17,000	\$ 11,000	\$ 28,000
Infringement/Litigation	\$ 11,000	\$ 72,000	\$ 26,000	\$ 45,000	\$ 26,000
General Legal	\$ 17,000	\$ 6,000	\$ 14,000	\$ 11,000	\$ 1,000
Royalty Sharing to ISU Parties	\$ 4,376,000	\$ 2,870,000	\$ 1,770,000	\$ 1,894,000	\$ 2,166,000
Royalty Sharing to Others	\$ 1,646,000	\$ 395,000	\$ 35,000	\$ 144,000	\$ 87,000
Research Support - ISU	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Total Expenses from Invention &amp; Licensing Activity</b>	<b>\$ 7,076,000</b>	<b>\$ 4,467,000</b>	<b>\$ 2,874,000</b>	<b>\$ 3,352,000</b>	<b>\$ 3,704,000</b>
<b>Net Income</b>	<b>\$ 2,505,000</b>	<b>\$ 623,000</b>	<b>\$ 721,000</b>	<b>\$ 591,000</b>	<b>\$ 953,000</b>
<b>% of Patent Prosecution &amp; License Expense Reimbursed</b>	<b>48%</b>	<b>45%</b>	<b>37%</b>	<b>29%</b>	<b>46%</b>
<b>Royalty Sharing with Academic Units (8)</b>					
Agriculture/Exp. Station	\$ 438,000	\$ 632,000	\$ 620,000	\$ 696,000	\$ 733,000
Engineering	\$ 50,000	\$ 4,000	\$ 11,000	\$ 7,000	\$ 15,000
Veterinary Medicine	\$ 63,000	\$ 156,000	\$ 101,000	\$ 134,000	\$ 103,000
Liberal Arts & Sciences	\$ 26,000	\$ 5,000	\$ 15,000	\$ 3,000	\$ 5,000
IPRT	\$ 3,000	\$ 1,000	\$ 9,000	\$ 6,000	\$ 16,000
Ames Lab	\$ 1,707,000	\$ 979,000	\$ 47,000	\$ 22,000	\$ 135,000
Provost and Extension	\$ 1,000	\$ -	\$ -	\$ -	\$ -
<b>All Units Total</b>	<b>\$ 2,288,000</b>	<b>\$ 1,777,000</b>	<b>\$ 803,000</b>	<b>\$ 867,000</b>	<b>\$ 1,007,000</b>
<b>Income Statement</b>					
Operating Revenues	\$ 9,588,000	\$ 5,319,000	\$ 3,595,000	\$ 3,943,000	\$ 4,657,000
*Investment Income (realized and unrealized)	\$ 2,781,000	\$ 4,515,000	\$ 786,000	\$ (80,000)	\$ 4,213,000
<b>Total Income</b>	<b>\$ 12,369,000</b>	<b>\$ 9,834,000</b>	<b>\$ 4,381,000</b>	<b>\$ 3,863,000</b>	<b>\$ 8,870,000</b>
Operating Expense	\$ 8,683,000	\$ 6,271,000	\$ 4,795,000	\$ 5,091,000	\$ 5,711,000
Grant Expense	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Total Expense</b>	<b>\$ 8,683,000</b>	<b>\$ 6,271,000</b>	<b>\$ 4,795,000</b>	<b>\$ 5,091,000</b>	<b>\$ 5,711,000</b>
<b>Increase or (Decrease) in Net Assets</b>	<b>\$ 3,686,000</b>	<b>\$ 3,563,000</b>	<b>\$ (414,000)</b>	<b>\$ (1,228,000)</b>	<b>\$ 3,159,000</b>
<b>Balance Sheet</b>					
Investments: Marketable Securities	\$ 28,686,000	\$ 32,995,000	\$ 32,687,000	\$ 31,177,000	\$ 33,862,000
Other Assets	\$ 10,513,000	\$ 6,501,000	\$ 3,561,000	\$ 3,942,000	\$ 4,812,000
<b>Total Assets</b>	<b>\$ 39,199,000</b>	<b>\$ 39,496,000</b>	<b>\$ 36,248,000</b>	<b>\$ 35,119,000</b>	<b>\$ 38,674,000</b>
Total Liabilities	\$ 8,222,000	\$ 4,955,000	\$ 2,122,000	\$ 2,222,000	\$ 2,618,000
<b>Net Assets</b>	<b>\$ 30,977,000</b>	<b>\$ 34,541,000</b>	<b>\$ 34,126,000</b>	<b>\$ 32,897,000</b>	<b>\$ 36,056,000</b>
<b>Total Liabilities and Net Assets</b>	<b>\$ 39,199,000</b>	<b>\$ 39,496,000</b>	<b>\$ 36,248,000</b>	<b>\$ 35,119,000</b>	<b>\$ 38,674,000</b>
<b>Investments</b>					
Amortized Cost(Book Value)	\$ 27,133,000	\$ 27,358,000	\$ 27,192,000	\$ 26,332,000	\$ 25,800,000
Market Value	\$ 28,686,000	\$ 32,995,000	\$ 32,687,000	\$ 31,177,000	\$ 33,862,000