

ANNUAL REPORT DATA

I. DISCLOSURE ACTIVITY	FY14	FY15	FY16	FY17	FY18
Intellectual Property Disclosures Reported					
Germplasm	22	18	4	1	0
Bio-Life & Ag	39	36	36	36	29
Chemistry-Chem. Engineering	25	42	54	55	71
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	27	34	50	38	45
Total Disclosures Received	113	130	144	130	145
Total Disclosures in Portfolio	532	536	610	629	648
Disclosures Received by Source of Funding					
Federal	53	82	52	67	74
State	3	6	5	3	4
Industry	13	6	31	10	5
Commodity	29	26	8	7	9
Foundation	5	5	9	1	1
No External Funding	38	33	44	49	54
II. PATENT ACTIVITY	FY14	FY15	FY16	FY17	FY18
Patent Prosecution					
U.S. Provisional Patent Application Filings	28	34	53	67	45
U.S. Non-Provisional Patent Application Filings (1)					
Plant Germplasm	0	0	0	0	0
Bio-Life Sciences & Ag.	14	11	21	5	27
Chemistry-Chem. Engineering	12	13	18	33	44
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	13	13	10	12	18
Total US Non-Provisional Patent Applications Filed	39	37	49	50	89
Total US Patent Applications Filed	67	71	102	117	134
Patent Applications - First Filings (2)					
Provisional	28	33	53	67	45
Utility	8	31	7	3	3
PCT	1	3	0	1	1
Total First Filings	37	67	60	71	49
Patent Applications - Secondary Filings					
Provisional	0	0	0	0	0
Non-Provisional US (excluding PCTs)	23	3	37	44	74
PCT	9	2	8	7	20
Total Secondary Filings	32	5	45	51	94
U.S. Patents Issued					
Plant Germplasm	0	0	0	0	0
Bio-Life Sciences & Ag.	12	8	3	9	16
Chemistry-Chem. Engineering	4	11	6	10	16
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	17	12	6	8	10
Total US Patents Issued	33	31	15	27	42
US Patent Application Portfolio	123	100	118	121	153
Total U.S. Patent Portfolio	322	296	270	255	257
Total U.S. Patent Portfolio Ever Licensed/Optioned	161	139	141	126	125

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III. LICENSING ACTIVITY (3)	FY14	FY15	FY16	FY17	FY18
Startups, Total	3	4	6	10	2
Startups, Iowa	3	4	5	9	2
License Agreements					
Germplasm	35	78	60	44	20
Technology	9	18	12	18	13
Option Agreements	15	12	12	23	18
Total Commercial Agreements	59	108	84	85	51
Total Commercial Agreements to IA Companies	19	61	45	39	21
Other Agreements related to Licensing Activities:					
Technology CDA's	28	27	40	37	56
Technology MTA's	18	41	27	35	45
Plant germplasm R&D And MTA Agts	30	21	9	6	discontinued
Administrative Agreements (4)	1	1	10	7	5
Miscellaneous Agreements (5)	15	24	6	0	1
Technologies Licensed/Optioned First Time					
Germplasm	14	12	0	1	0
Bio-Life Sciences & Ag.	11	9	3	10	5
Chemistry-Chem. Engineering	4	0	7	9	10
Physical Sciences-Eng.	1	12	8	17	10
Total Technologies	30	33	18	37	25
Technology Agreements with Income: (6)					
Over \$1M / FY	1	1	1	1	1
\$100K - \$1M / FY	7	6	5	6	8
\$10K - \$100K / FY	34	26	28	25	24
< \$10K / FY	55	52	38	58	56
Total Technology Agreements with Income	97	85	72	90	89
Total Agreements with Income (Technology & Germplasm) (6)					
Over \$1M / FY	1	1	1	1	1
\$100K - \$1M / FY	7	6	5	6	8
\$10K - \$100K / FY	40	33	35	40	38
< \$10K / FY	128	117	106	152	138
Total Agreements with Income	176	157	147	199	185
Portfolio of Active Licenses					
Germplasm	156	203	227	229	209
Technology	102	110	108	116	120
Option Agreements	20	26	26	32	37
Total Active License and Option Portfolio	278	339	361	377	366
IV. AWARDS AND SALES	FY14	FY15	FY16	FY17	FY18
ISU Specialty Germplasm (7)					
Bushels Planted & Royalty (Thru FY17 Iowa only companies)					
Bushels Planted	8,640	5,609	23,540	18,415	117,868
Royalty	\$ 29,909	\$ 23,801	\$ 84,777	\$ 89,196	\$ 430,331
Calendar Year Sales of ISU Technologies (3)	CY13	CY14	CY15	CY16	CY17
IA Companies	\$ 21,004,000	\$ 8,094,000	\$ 5,726,000	\$ 9,861,000	\$ 36,891,000
Non-IA Companies	\$ 294,458,000	\$ 74,611,000	\$ 78,624,000	\$ 85,114,000	\$ 84,033,000
Total	\$ 315,462,000	\$ 82,705,000	\$ 84,351,000	\$ 94,975,000	\$ 120,924,000
% IA to total	7%	10%	7%	10%	31%

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V. INCOME AND EXPENSES	FY14	FY15	FY16	FY17	FY18
Income Related to Licensing Activity (7)					
Germplasm Income					
Plant Germplasm/Not Patented	\$ 134,000	\$ 249,000	\$ 317,000	\$ 364,000	\$ 433,000
AFA Soybean Varieties Patented	\$ 41,000	\$ 23,000	\$ 13,000	\$ 6,000	\$ -
Total Germplasm Income	\$ 175,000	\$ 272,000	\$ 331,000	\$ 370,000	\$ 433,000
Flexible Solutions B&C Income & Ed. Mat Technology Income					
Technology Licenses	\$ 4,461,000	\$ 2,625,000	\$ 2,757,000	\$ 3,654,000	\$ 3,776,000
Jointly Owned Technology Licenses	\$ 394,000	\$ 357,000	\$ 547,000	\$ 367,000	\$ 343,000
Option Agreements	\$ 59,000	\$ 64,000	\$ 74,000	\$ 132,000	\$ 85,000
Total Technology Income	\$ 4,915,000	\$ 3,047,000	\$ 3,378,000	\$ 4,152,000	\$ 4,204,000
Total for All Licensing Activity	\$ 5,090,000	\$ 3,595,000	\$ 3,943,000	\$ 4,657,000	\$ 5,032,000
Technology Income & Expenses					
Income from Licensing Activity					
Technology Royalty Income	\$ 4,584,000	\$ 3,217,000	\$ 3,583,000	\$ 4,021,000	\$ 4,396,000
Expense Reimbursement	\$ 507,000	\$ 378,000	\$ 360,000	\$ 636,000	\$ 636,000
Research Income	\$ -	\$ -	\$ -	\$ -	\$ -
Total for All Licensing Activity	\$ 5,090,000	\$ 3,595,000	\$ 3,943,000	\$ 4,657,000	\$ 5,032,000
Expenses from Invention & Licensing Activity					
Patent Prosecution & Maintenance Expense	\$ 1,121,000	\$ 1,012,000	\$ 1,247,000	\$ 1,396,000	\$ 1,472,000
Licensing	\$ 3,000	\$ 17,000	\$ 11,000	\$ 28,000	\$ 9,000
Infringement/Litigation	\$ 72,000	\$ 26,000	\$ 45,000	\$ 26,000	\$ -
General Legal	\$ 6,000	\$ 14,000	\$ 11,000	\$ 1,000	\$ 1,000
Royalty Sharing to ISU Parties	\$ 2,870,000	\$ 1,770,000	\$ 1,894,000	\$ 2,166,000	\$ 2,655,000
Royalty Sharing to Others	\$ 395,000	\$ 35,000	\$ 144,000	\$ 87,000	\$ 94,000
Research Support - ISU	\$ -	\$ -	\$ -	\$ -	\$ -
Total Expenses from Invention & Licensing Activity	\$ 4,467,000	\$ 2,874,000	\$ 3,352,000	\$ 3,704,000	\$ 4,231,000
Net Income	\$ 623,000	\$ 721,000	\$ 591,000	\$ 953,000	\$ 801,000
% of Patent Prosecution & License Expense Reimbursed	45%	37%	29%	46%	43%
Royalty Sharing with Academic Units (8)					
Agriculture/Exp. Station	\$ 632,000	\$ 620,000	\$ 696,000	\$ 733,000	\$ 869,000
Engineering	\$ 4,000	\$ 11,000	\$ 7,000	\$ 15,000	\$ 11,000
Veterinary Medicine	\$ 156,000	\$ 101,000	\$ 134,000	\$ 103,000	\$ 216,000
Liberal Arts & Sciences	\$ 5,000	\$ 15,000	\$ 3,000	\$ 5,000	\$ 5,000
IPRT	\$ 1,000	\$ 9,000	\$ 6,000	\$ 16,000	\$ 4,000
Ames Lab	\$ 979,000	\$ 47,000	\$ 22,000	\$ 135,000	\$ 24,000
Provost and Extension	\$ -	\$ -	\$ -	\$ -	\$ 3,000
All Units Total	\$ 1,777,000	\$ 803,000	\$ 867,000	\$ 1,007,000	\$ 1,132,000
Income Statement					
Operating Revenues	\$ 5,319,000	\$ 3,595,000	\$ 3,943,000	\$ 4,657,000	\$ 5,032,000
*Investment Income (realized and unrealized)	\$ 4,515,000	\$ 786,000	\$ (80,000)	\$ 4,213,000	\$ 2,646,000
Total Income	\$ 9,834,000	\$ 4,381,000	\$ 3,863,000	\$ 8,870,000	\$ 7,678,000
Operating Expense	\$ 6,271,000	\$ 4,795,000	\$ 5,091,000	\$ 5,711,000	\$ 6,260,000
Grant Expense	\$ -	\$ -	\$ -	\$ -	\$ -
Total Expense	\$ 6,271,000	\$ 4,795,000	\$ 5,091,000	\$ 5,711,000	\$ 6,260,000
Increase or (Decrease) in Net Assets	\$ 3,563,000	\$ (414,000)	\$ (1,228,000)	\$ 3,159,000	\$ 1,418,000
Balance Sheet					
Investments: Marketable Securities	\$ 32,995,000	\$ 32,687,000	\$ 31,177,000	\$ 33,862,000	\$ 35,027,000
Other Assets	\$ 6,501,000	\$ 3,561,000	\$ 3,942,000	\$ 4,812,000	\$ 5,334,000
Total Assets	\$ 39,496,000	\$ 36,248,000	\$ 35,119,000	\$ 38,674,000	\$ 40,361,000
Total Liabilities	\$ 4,955,000	\$ 2,122,000	\$ 2,222,000	\$ 2,618,000	\$ 2,887,000
Net Assets	\$ 34,541,000	\$ 34,126,000	\$ 32,897,000	\$ 36,056,000	\$ 37,474,000
Total Liabilities and Net Assets	\$ 39,496,000	\$ 36,248,000	\$ 35,119,000	\$ 38,674,000	\$ 40,361,000
Investments					
Amortized Cost(Book Value)	\$ 27,358,000	\$ 27,192,000	\$ 26,332,000	\$ 25,800,000	\$ 27,617,000
Market Value	\$ 32,995,000	\$ 32,687,000	\$ 31,177,000	\$ 33,862,000	\$ 35,027,000