

## ANNUAL REPORT DATA

I. DISCLOSURE ACTIVITY	FY16	FY17	FY18	FY19	FY20
Intellectual Property Disclosures Reported					
Germplasm	4	1	0	24	15
Bio-Life & Ag	36	36	27	28	33
Chemistry-Chem. Engineering	54	55	69	43	46
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	50	38	45	44	38
<b>Germplasm &amp; Technology Disclosures Received, No Datasets</b>	144	130	141	139	132
<b>Dataset Disclosures Received</b>			4	26	44
<b>Total Disclosures Received</b>	144	130	145	165	176
<b>Total Disclosures in Portfolio - No Datasets</b>	610	629	644	668	732
<b>Total Datasets in Portfolio</b>	0	0	4	29	73
<b>Total Disclosures in Portfolio - Including Datasets</b>	610	629	648	697	805
Disclosures Received by Source of Funding, including datasets					
Federal	52	67	74	65	72
State	5	3	5	4	3
Industry	31	10	5	13	18
Commodity	8	7	9	29	19
Foundation	9	1	1	8	2
No External Funding	44	49	53	47	67
II. PATENT ACTIVITY	FY16	FY17	FY18	FY19	FY20
Patent Prosecution					
U.S. Provisional Patent Application Filings	53	67	47	45	47
U.S. Non-Provisional Patent Application Filings (1)					
Plant Germplasm	0	0	0	0	0
Bio-Life Sciences & Ag.	21	5	27	17	17
Chemistry-Chem. Engineering	18	33	44	34	24
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	10	12	18	9	13
<b>Total US Non-Provisional Patent Applications Filed</b>	49	50	89	60	54
<b>Total US Patent Applications Filed</b>	102	117	136	105	101
U.S. Patent Applications - First Filings (2)					
Provisional	53	67	47	44	47
Utility	7	3	3	2	3
PCT	0	1	1	0	0
<b>Total First Filings</b>	60	71	51	46	50
Patent Applications - Secondary Filings					
Provisional	0	0	0	1	0
Non-Provisional US (excluding PCTs)	37	44	74	53	51
PCT	8	7	20	8	6
<b>Total Secondary Filings</b>	45	51	94	62	57
U.S. Patents Issued					
Plant Germplasm	0	0	0	0	0
Bio-Life Sciences & Ag.	3	9	16	9	15
Chemistry-Chem. Engineering	6	10	16	13	29
Consumer Products	0	0	0	0	0
Physical Sciences-Eng.	6	8	10	10	12
<b>Total US Patents Issued</b>	15	27	42	32	56
<b>Worldwide Patents Issued</b>	29	39	85	70	98
<b>US Patent Application Portfolio</b>	118	121	153	161	154
<b>Total U.S. Patent Portfolio</b>	270	255	257	263	289
<b>Total U.S. Patent Portfolio Ever Licensed/Optioned</b>	141	126	125	124	141

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<b>III. LICENSING ACTIVITY (3)</b>	<b>FY16</b>	<b>FY17</b>	<b>FY18</b>	<b>FY19</b>	<b>FY20</b>
Startups, Total	6	10	2	4	4
Startups, Iowa	5	9	2	4	4
License Agreements					
Germplasm	60	44	23	27	16
Technology	12	18	14	12	24
Option Agreements	12	23	18	7	6
<b>Total Commercial Agreements</b>	<b>84</b>	<b>85</b>	<b>55</b>	<b>46</b>	<b>46</b>
<b>Total Commercial Agreements to IA Companies</b>	<b>45</b>	<b>39</b>	<b>22</b>	<b>25</b>	<b>22</b>
Other Agreements related to Licensing Activities:					
Technology CDA's	40	37	54	51	44
Technology MTA's	27	35	45	25	38
Plant germplasm R&D And MTA Agts	9	6	discontinued	discontinued	discontinued
Administrative Agreements (4)	10	7	5	8	2
Miscellaneous Agreements (5)	6	0	2	2	3
Technologies Licensed/Optioned First Time					
Germplasm	0	1	0	0	0
Bio-Life Sciences & Ag.	3	10	5	1	11
Chemistry-Chem. Engineering	7	9	10	7	8
Physical Sciences-Eng.	8	17	10	4	6
<b>Total Technologies</b>	<b>18</b>	<b>37</b>	<b>25</b>	<b>12</b>	<b>25</b>
Technology Agreements with Income: (6)					
Over \$1M / FY	1	1	1	0	1
\$100K - \$1M / FY	5	6	8	5	4
\$10K - \$100K / FY	28	25	24	25	23
< \$10K / FY	38	58	56	43	51
<b>Total Technology Agreements with Income</b>	<b>72</b>	<b>90</b>	<b>89</b>	<b>73</b>	<b>79</b>
Total Agreements with Income (Technology & Germplasm) (6)					
Over \$1M / FY	1	1	1	0	1
\$100K - \$1M / FY	5	6	8	5	4
\$10K - \$100K / FY	35	40	38	37	34
< \$10K / FY	106	152	138	113	115
<b>Total Agreements with Income</b>	<b>147</b>	<b>199</b>	<b>185</b>	<b>155</b>	<b>154</b>
Portfolio of Active Licenses					
Germplasm	227	229	209	215	173
Technology	108	116	123	124	146
Option Agreements	26	32	36	15	18
<b>Total Active License and Option Porfolio</b>	<b>361</b>	<b>377</b>	<b>368</b>	<b>354</b>	<b>337</b>
<b>IV. AWARDS AND SALES</b>	<b>FY16</b>	<b>FY17</b>	<b>FY18</b>	<b>FY19</b>	<b>FY20</b>
ISU Specialty Germplasm (7)					
Bushels Planted & Royalty (Thru FY17 Iowa only companies)					
Bushels Planted	23,540	18,415	117,868	102,694	98,627
Royalty	\$ 84,777	\$ 89,196	\$ 430,331	\$ 382,452	\$ 393,078
Calendar Year Sales of ISU Technologies (3)	<b>CY15</b>	<b>CY16</b>	<b>CY17</b>	<b>CY18</b>	<b>CY19</b>
IA Companies	\$ 5,726,000	\$ 9,861,000	\$ 36,891,000	\$ 8,270,000	\$ 5,358,000
Non-IA Companies	\$ 78,624,000	\$ 85,114,000	\$ 84,033,000	\$ 80,065,000	\$ 94,400,000
<b>Total</b>	<b>\$ 84,351,000</b>	<b>\$ 94,975,000</b>	<b>\$ 120,924,000</b>	<b>\$ 88,334,000</b>	<b>\$ 99,759,000</b>
<b>% IA to total</b>	<b>7%</b>	<b>10%</b>	<b>31%</b>	<b>9%</b>	<b>5%</b>

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<b>V. INCOME AND EXPENSES</b>	<b>FY16</b>	<b>FY17</b>	<b>FY18</b>	<b>FY19</b>	<b>FY20</b>
Income Related to Licensing Activity (8)					
<b>Germplasm Income</b>					
Plant Germplasm/Not Patented	\$ 317,000	\$ 364,000	\$ 433,000	\$ 382,000	\$ 405,000
AFA Soybean Varieties Patented	\$ 13,000	\$ 6,000	\$ -	\$ -	\$ -
<b>Total Germplasm Income</b>	\$ 331,000	\$ 370,000	\$ 433,000	\$ 382,000	\$ 405,000
<b>Flexible Solutions B&amp;C Income &amp; Ed. Mat Technology Income</b>	\$ 235,000	\$ 135,000	\$ 396,000	\$ 164,000	\$ 73,000
Technology Licenses	\$ 2,757,000	\$ 3,654,000	\$ 3,776,000	\$ 2,346,000	\$ 2,531,000
Jointly Owned Technology Licenses	\$ 547,000	\$ 367,000	\$ 343,000	\$ 269,000	\$ 257,000
Option Agreements	\$ 74,000	\$ 132,000	\$ 85,000	\$ 80,000	\$ 62,000
<b>Total Technology Income</b>	\$ 3,378,000	\$ 4,152,000	\$ 4,204,000	\$ 2,695,000	\$ 2,850,000
<b>Total for All Licensing Activity</b>	\$ 3,943,000	\$ 4,657,000	\$ 5,032,000	\$ 3,242,000	\$ 3,328,000
Technology Income & Expenses					
Income from Licensing Activity					
Technology Royalty Income	\$ 3,583,000	\$ 4,021,000	\$ 4,396,000	\$ 2,902,000	\$ 3,074,000
Expense Reimbursement	\$ 360,000	\$ 636,000	\$ 636,000	\$ 340,000	\$ 254,000
Research Income	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Total for All Licensing Activity</b>	\$ 3,943,000	\$ 4,657,000	\$ 5,032,000	\$ 3,242,000	\$ 3,328,000
Expenses from Invention & Licensing Activity					
Patent Prosecution & Maintenance Expense	\$ 1,247,000	\$ 1,396,000	\$ 1,472,000	\$ 1,123,000	\$ 1,114,000
Licensing	\$ 11,000	\$ 28,000	\$ 9,000	\$ 12,000	\$ -
Infringement/Litigation	\$ 45,000	\$ 26,000	\$ -	\$ 5,000	\$ -
General Legal	\$ 11,000	\$ 1,000	\$ 1,000	\$ 5,000	\$ -
Royalty Sharing to ISU Parties	\$ 1,894,000	\$ 2,166,000	\$ 2,655,000	\$ 1,648,000	\$ 1,587,000
Royalty Sharing to Others	\$ 144,000	\$ 87,000	\$ 94,000	\$ 92,000	\$ 86,000
Research Support - ISU	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Total Expenses from Invention &amp; Licensing Activity</b>	\$ 3,352,000	\$ 3,704,000	\$ 4,231,000	\$ 2,885,000	\$ 2,787,000
<b>Net Income</b>	\$ 591,000	\$ 953,000	\$ 801,000	\$ 357,000	\$ 541,000
<b>% of Patent Prosecution &amp; License Expense Reimbursed</b>	29%	46%	43%	30%	23%
Royalty Sharing with Academic Units (9)					
Agriculture/Exp. Station	\$ 696,000	\$ 733,000	\$ 869,000	\$ 563,000	\$ 529,000
Engineering	\$ 7,000	\$ 15,000	\$ 11,000	\$ 10,000	\$ 13,000
Veterinary Medicine	\$ 134,000	\$ 103,000	\$ 216,000	\$ 140,000	\$ 190,000
Liberal Arts & Sciences	\$ 3,000	\$ 5,000	\$ 5,000	\$ -	\$ 1,000
IPRT	\$ 6,000	\$ 16,000	\$ 4,000	\$ 3,000	\$ 5,000
Ames Lab	\$ 22,000	\$ 135,000	\$ 24,000	\$ 38,000	\$ 69,000
Provost and Extension	\$ -	\$ -	\$ 3,000	\$ -	\$ -
<b>All Units Total</b>	\$ 867,000	\$ 1,007,000	\$ 1,132,000	\$ 755,000	\$ 808,000
Income Statement					
Operating Revenues	\$ 3,943,000	\$ 4,657,000	\$ 5,032,000	\$ 3,242,000	\$ 3,328,000
*Investment Income (realized and unrealized)	\$ (80,000)	\$ 4,213,000	\$ 2,646,000	\$ 1,721,000	\$ (620,000)
<b>Total Income</b>	\$ 3,863,000	\$ 8,870,000	\$ 7,678,000	\$ 4,963,000	\$ 2,708,000
Operating Expense	\$ 5,091,000	\$ 5,711,000	\$ 6,260,000	\$ 5,005,000	\$ 4,538,000
Grant Expense	\$ -	\$ -	\$ -	\$ -	\$ -
<b>Total Expense</b>	\$ 5,091,000	\$ 5,711,000	\$ 6,260,000	\$ 5,005,000	\$ 4,538,000
<b>Increase or (Decrease) in Net Assests</b>	\$ (1,228,000)	\$ 3,159,000	\$ 1,418,000	\$ (42,000)	\$ (1,830,000)
Balance Sheet					
Investments: Marketable Securities	\$ 31,177,000	\$ 33,862,000	\$ 35,027,000	\$ 35,696,000	\$ 33,598,000
Other Assets	\$ 3,942,000	\$ 4,812,000	\$ 5,334,000	\$ 3,800,000	\$ 4,120,000
<b>Total Assets</b>	\$ 35,119,000	\$ 38,674,000	\$ 40,361,000	\$ 39,496,000	\$ 37,718,000
Total Liabilities	\$ 2,222,000	\$ 2,618,000	\$ 2,887,000	\$ 2,063,000	\$ 2,116,000
<b>Net Assets</b>	\$ 32,897,000	\$ 36,056,000	\$ 37,474,000	\$ 37,433,000	\$ 35,602,000
<b>Total Liabilities and Net Assets</b>	\$ 35,119,000	\$ 38,674,000	\$ 40,361,000	\$ 39,496,000	\$ 37,718,000
Investments					
Amortized Cost(Book Value)	\$ 26,332,000	\$ 25,800,000	\$ 27,617,000	\$ 28,335,000	\$ 27,382,000
Market Value	\$ 31,177,000	\$ 33,862,000	\$ 35,027,000	\$ 35,696,000	\$ 33,598,000