



**NATIONAL SCIENCE FOUNDATION**  
ARLINGTON, VA 22230

**Draft Questions on University Intellectual Property and Commercialization**  
**November 2008**

**Item 1.** Please indicate below the numbers of intellectual property transactions that your institution performed in FY 2009.

	<b>Number</b>
<b>A. Disclosures received</b> Include all disclosures submitted to your office during the fiscal year that are counted as received by the institution.	
<b>B. Material Transfer Agreements</b> Include all Material Transfer Agreements (MTAs) that were executed in FY 2009.	
<b>C. Number of licenses executed</b> Include all licenses or option agreements executed in FY 2009 for all technologies. Each agreement, exclusive or non-exclusive, should be counted separately.	
<b>D. Number of licenses active</b> Include the cumulative number of licenses and options over all years that had not terminated by the end of FY 2009.	

**Item 2.** Please indicate below the numbers of patents filed and issued during FY 2009. For the Total Non-U.S. column, include any initial filings made outside of the U.S. in FY 2009.

	<b>Total U.S.</b>	<b>Total Non-U.S.</b>
<b>A. Provisional patent applications filed</b> Include all NEW provisional patent applications filed in FY 2009.		
<b>B. Patents filed</b> Include all U.S. utility patent applications and non-U.S. patent applications filed in FY 2009. Do not include continuations, divisionals, or CIPs.		
<b>C. Patents issued</b> Include all new U.S. utility patents and non-U.S. patents issued in FY 2009.		

**Item 2a.** Of the patents filed (row B), how many were for inventions made during a federally funded project? \_\_\_\_\_

**Item 3.** Please provide the following information regarding the startup companies formed in FY 2009 that were dependent on licensing your institution's technology for their formation.

<b>Legal name</b>	<b>Location</b> (city, state)	<b>Incorporation date</b>	<b>Technology sector</b> (biotechnology, medicine, engineering, physical sciences, etc)	<b>Does institution have an ownership stake?</b> (yes, no)

**Item 4.** Please enter the amount of income your institution realized from R&D intellectual property in FY 2009.

<b>A. License income</b> Include license issue fees, payments under options, annual minimums, running royalties, and termination payments.	\$
<b>B. Income from one-time sales of intellectual property</b>	\$
<b>C. Income from equity positions</b> Include cash dividends and disposition of equity holdings, options, and warrants in start-ups and other companies.	\$
<b>D. Other (please specify)</b>	\$
<b>E. TOTAL</b>	\$

**Item 5.** Please enter the number of U.S. utility patent applications and patents issued in FY 2009 by the field of R&D.

<b>Field of R&amp;D</b>	<b>U.S. Patents filed</b>	<b>U.S. Patents issued</b>
<b>Engineering</b>		
<b>Physical sciences</b>		
<b>Environmental sciences</b>		
<b>Mathematical sciences</b>		
<b>Computer sciences</b>		
<b>Life sciences</b>		
<b>Psychology</b>		
<b>Social sciences</b>		
<b>Education</b>		
<b>Law</b>		
<b>Humanities</b>		
<b>Visual and performing arts</b>		
<b>Business and management</b>		
<b>Communication, journalism, and library science</b>		
<b>Social work</b>		
<b>Other</b>		
<b>TOTAL</b>		

**(Alternate version)**

**Item 5.** Please enter the number of U.S. utility patent applications and patents issued in FY 2009 by the department of the inventor(s). If a patent involves multiple inventors, please report these on a fractional basis by department (e.g. a patent issued to 2 inventors from different departments should be reported as .5 in each department).

<b>Department</b>	<b>U.S. Patents filed</b>	<b>U.S. Patents issued</b>
<b>Engineering</b>		
<b>Physical sciences</b>		
<b>Environmental sciences</b>		
<b>Mathematical sciences</b>		
<b>Computer sciences</b>		
<b>Life sciences</b>		
<b>Psychology</b>		
<b>Social sciences</b>		
<b>Education</b>		
<b>Law</b>		
<b>Humanities</b>		
<b>Visual and performing arts</b>		
<b>Business and management</b>		
<b>Communication, journalism, and library science</b>		
<b>Social work</b>		
<b>Other</b>		
<b>TOTAL</b>		