



U.S. DEPARTMENT OF COMMERCE  
Economics and Statistics Administration  
U.S. CENSUS BUREAU

FORM

**BRDI-1** (12-06-2011) Draft 4

## 2011 BUSINESS R&D AND INNOVATION SURVEY

OMB No. 0607-0912: Approval Expires 10/31/2011

**DUE DATE:****Report electronically:**

econhelp.census.gov/brdis

Username:

Password:

Reporting electronically allows you to save your work as you go through the form and could save you time.

**Report by mail:**

If you report online, please do **not** mail in the paper form.

U.S. CENSUS BUREAU  
1201 East 10th Street  
Jeffersonville, IN  
47132-0001

**For information or assistance:**

- econhelp.census.gov/brdis
- Call 1-800-772-7851, option "5" (8 a.m.–5 p.m. EST, M-F)
- Write to the address above. Include your 11-digit ID printed on the mailing label.

*(Please correct any errors in this mailing address)*

**Your Response is Required by Law**

Title 13, United States Code, requires businesses and other organizations that receive this questionnaire to answer the questions and return the report to the Census Bureau.

Respondents are not required to respond to any information collection unless it displays a valid approval number from the Office of Management and Budget (OMB). The OMB number appears at the top of this page.

**Your Response is Confidential by Law**

Title 13, United States Code, requires that your response be seen only by persons sworn to uphold the confidentiality of Census Bureau information and may be used only for statistical purposes. The law also provides that copies retained in your company's files are immune from legal process.

**About the Business R&D and Innovation Survey**

The Business Research and Development and Innovation Survey is a national survey that collects critical information about research and development (R&D) and innovation at businesses operating in the U.S. Policy makers and data users in industry and academia make use of this information for short- and long-term planning.

Better information about R&D and innovation in the U.S. business sector will help leaders make better decisions to strengthen American competitiveness.

**Thank You – Your Response is Important**

Accurate and timely statistical information could not be produced without your continued cooperation and goodwill. Thank you.

~ This survey is jointly conducted by the U.S. Census Bureau and the National Science Foundation ~



# Table of Contents

## Survey Overview and Table of Contents

The survey is divided into six sections. Each section asks questions about different aspects of R&D or innovation at your company. Due to the specialized nature of each section, it may be necessary to collaborate with colleagues in different departments to answer the questions. The sections are color coded and cover the following topical areas:

### Section 1: Company Information . . . . . p.4

**Topics:** company ownership, business(es), revenues, and innovation  
**Requires:** knowledge of the company's sales and revenues

### Section 2: Financial Schedule A . . . . . p.10

**Topics:** R&D expenses and capital expenditures for R&D  
**Requires:** knowledge of your company's accounting concepts and access to financial records

### Section 3: Financial Schedule B . . . . . p.20

**Topics:** costs for work that was funded, paid for, or reimbursed by others  
**Requires:** knowledge of your company's financial records related to R&D activities

### Section 4: Management and Strategy of R&D . . . . . p.32

**Topics:** characteristics of R&D reported in Sections 2 and 3  
**Requires:** familiarity with the technical and strategic aspects of your company's R&D

### Section 5: Human Resources . . . . . p.36

**Topics:** your company's employees, focusing on those who work on R&D activities  
**Requires:** familiarity with human resources (HR) concepts and access to HR records

### Section 6: Intellectual Property and Technology Transfer . . . . . p.40

**Topics:** intellectual property and technology transfer  
**Requires:** knowledge of your company's general business strategy, patenting, and licensing

## Changes from the 2010 survey

On the basis of extensive conversations with many of the 2010 survey respondents, the 2011 survey has been improved. Sections and questions have been modified to make the concepts presented easier to understand. For a list of specific changes, go to [econhelp.census.gov/brdis](http://econhelp.census.gov/brdis).

## Filing electronically

You may submit your survey online via a secure website. Online submission allows you to save the data on secure Census Bureau servers as you go, so you can save, exit, and resume later without losing any of your data. It also allows you to save a paper or electronic copy of your completed survey. To submit online, follow the instructions at [econhelp.census.gov/brdis](http://econhelp.census.gov/brdis).

## Electronic materials

Electronic versions of the questionnaire and related documents are available to print or share with others in your company via e-mail. They can be found at [econhelp.census.gov/brdis](http://econhelp.census.gov/brdis).

### You can:

- Print and download copies of the questionnaire in PDF format
- Download Excel worksheets for each section
- Get question-by-question instructions, definitions, and examples that provide clarification
- Get answers to frequently asked questions, including how the data will be used



## What is Research and Development (R&D)?

R&D is planned, creative work aimed at discovering new knowledge or developing new or significantly improved goods and services. This includes a) activities aimed at acquiring new knowledge or understanding without specific immediate commercial applications or uses (basic research); b) activities aimed at solving a specific problem or meeting a specific commercial objective (applied research); and c) systematic use of research and practical experience to produce new or significantly improved goods, services, or processes (development).

The term research and development does NOT include expenditures for:

- Costs for routine product testing, quality control, and technical services unless they are an integral part of an R&D project
- Market research
- Efficiency surveys or management studies
- Literary, artistic, or historical projects, such as films, music, or books and other publications
- Prospecting or exploration for natural resources

## Does R&D include development of software and Internet applications?

Only development of software and Internet applications that include an element of uncertainty and that are intended to close gaps and meet scientific and technological needs should be reported as R&D on this survey

R&D activity in software includes:

- Development of new software
- Significant improvement of existing software
- Construction of new theories and algorithms in the field of computer science

R&D activity in software does NOT include:

- Creation of new software based on known methods and applications
- Support for existing systems
- Conversion or translation of existing software and software languages
- Adaptation of a product to a specific client, unless knowledge that significantly improved the base program was added in that process
- Routine debugging of existing systems and software

## Reporting unit

The reporting unit is your company, including all subsidiaries and divisions. Include subsidiary companies where there is more than 50 percent ownership.

## Reporting period

Report data for the calendar year 2011, if possible, or for your company's fiscal year ending between April 2011 and March 2012.

## Estimates are acceptable

Please report all items to the best of your ability.

## To speak with a survey specialist, call 1-800-772-7851, option '1' for English, then option '5'.

Survey specialists are available 8 a.m. to 5 p.m. EST, M-F to help with any questions you may have.



## SECTION 1

### Company Information

**1-1** Did another company other than a holding company own more than 50 percent of your company during 2011?

Yes → Please provide the following information:

Name of owner

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(MM) (DD) (YYYY)

Date owner purchased your company

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

No → Skip to Question 1-3

**1-2** If you answered "Yes" to Question 1-1, is your company's owner a foreign company?

Yes (foreign owner) → Please follow these instructions:

**REPORTING INSTRUCTIONS FOR FOREIGN-OWNED COMPANIES:**

If your company is foreign-owned, the reporting unit for the survey is your U.S.-based company, including all its majority-owned subsidiaries and divisions regardless of location. For reporting purposes, your foreign owner and any other foreign affiliates your company does not own should be treated the same as any other customer or business partner you do not own.

If you pay your foreign owner for R&D services, those costs should be included in your responses in Section 2 as "costs for purchased R&D services."

If your foreign owner pays or reimburses your company for R&D services, the costs for this R&D should be included in your responses in Section 3 as "costs funded, paid for, or reimbursed by others".

Report your survey data using U.S. generally accepted accounting principles (U.S. GAAP) as recognized by the Financial Accounting Standard Board (FASB). If your company follows International Financial Reporting Standards (IFRS), we request that you estimate any adjustments that would be required to conform to U.S. GAAP.

No (U.S. owner) → Please provide the following information:

EIN of owner (9 digits)

--	--	--	--	--	--	--	--	--	--	--

**REPORTING INSTRUCTIONS FOR U.S.-OWNED COMPANIES:**

If your company was purchased between April 1, 2011 and December 31, 2011, report only for the period January 1, 2011 to the date of purchase. If your company was purchased before April 1, 2011, complete Question 1-6 and return this form to the Census Bureau – you are not required to complete the rest of this survey.

*Disregard these instructions if your owner instructs you to complete this survey.*



**1-3 Did your company own more than 50 percent of any company operations or subsidiaries outside the 50 United States and D.C. during 2011?**

- Yes → **Include data for these operations/subsidiaries in your survey responses**
- No

**1-4 Has your company ceased operations?**

- Yes → **Please provide the following information:**

(MM) (DD) (YYYY)

Date your company ceased operations

**REPORTING INSTRUCTIONS:**

If your company ceased operations between April 1, 2011 and December 31, 2011, report only for the period January 1, 2011 to the date your company ceased operations. If your company ceased operations before April 1, 2011, complete Question 1-6 and return this form to the Census Bureau – you are not required to complete the rest of this survey.

- No

**1-5 Did your company have discontinued operations in 2011?**

- Yes → **Include data for these operations in your survey responses**
- No

**1-6 Who is the survey coordinator?**

The survey coordinator is the person at your company responsible for gathering all requested information, ensuring instructions are followed, and submitting the completed survey. The survey coordinator may not be able to personally complete the entire survey and may need to request information from other knowledgeable resources concerning your company's R&D, accounting, human resources, and legal matters.

Name

Title

Telephone

Area code      Number

Extension

Fax

Area code      Number

E-mail address



### Business Codes

**1-7** Do the business code(s) listed below reflect all applicable codes from the list on pages 42-43 in which your company operated worldwide during 2011?

**NOTE:** These codes will be used to describe both business activities and R&D activities and may differ from industry codes used by other government surveys and reports.

**If no business codes are printed below, please write in the codes from pages 42-43 that apply to your company.**

Yes → Continue with Question 1-8

No → Draw a line through codes that are incorrect. As needed, enter additional codes and descriptions from pages 42-43 in the spaces provided.

Business Code (see pages 42-43)	Description



**1-8 What was the amount of your company's worldwide net sales and revenues during 2011?**

**Include:**

- Sales and operating revenues from discontinued operations

**Exclude:**

- Non-operating income (i.e., dividends, interest)

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**1-9 How much of the amount reported in Question 1-8 was attributable to or originated from domestic operations?**

**Include:**

- Operating revenues and sales to foreign customers, including foreign subsidiaries

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**1-10 How much of the 2011 net sales and operating revenue amounts was for each business code listed or amended in Question 1-7:**

- (1) Worldwide net sales and operating revenues reported in Question 1-8  
 (2) Domestic net sales and operating revenues reported in Question 1-9

Business code (see page 6)	(1) Worldwide net sales and operating revenues			(2) Domestic net sales and operating revenues		
	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
a. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. Less eliminations – the sales and revenues that are eliminated in order to consolidate the business codes. . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
j. <b>Total</b> . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Total equals Question 1-8

Total equals Question 1-9



**Innovation**

**1-11 Did your company introduce any of the following during the three-year period, 2009 to 2011?**

- a. New or significantly improved goods (excluding the simple resale of new goods purchased from others and changes of a solely aesthetic nature) . . . . .  Yes  No
- b. New or significantly improved services. . . . .  Yes  No
- c. New or significantly improved methods of manufacturing or producing goods or services. . . . .  Yes  No
- d. New or significantly improved logistics, delivery, or distribution methods for your inputs, goods, or services. . . . .  Yes  No
- e. New or significantly improved support activities for your processes, such as maintenance systems or operations for purchasing, accounting, or computing . . . . .  Yes  No

**1-12 If you answered "yes" to either 1-11, line a, or 1-11, line b, were any of those new or significantly improved goods or services:**

- a. New to one of your markets? . . . . .  Yes  No  
 Your company introduced new or significantly improved goods or services to one of your markets before your competitors. (It may have been available in other markets.)
- b. New only to your company? . . . . .  Yes  No  
 Your company introduced new or significantly improved goods or services that were already available from your competitors in your markets.

**1-13 Using the definitions above, please give the percentage of your total sales in 2011 from:**

- a. New or significantly improved goods and services introduced during 2009 to 2011 that were new to one of your markets. . . . .    %
- b. New or significantly improved goods and services introduced during 2009 to 2011 that were new only to your company . . . . .    %
- c. Goods and services that were unchanged or only marginally modified during 2009 to 2011 (include the resale of new goods or services purchased from other companies) . . . . .    %
- d. **Total sales in 2011** . . . . .    %

**1-14 - 1-17 Not applicable to this form**





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## SECTION 2

### Financial Schedule A

#### Who should answer this section?

Persons familiar with accounting concepts and with access to financial records related to your company's R&D activities should complete this section.

#### What does this section cover?

This section requests financial information about your company's R&D expenses and capital expenditures for R&D. This section requests information about your company's R&D at multiple levels of detail: for your worldwide consolidated enterprise, for units or parts of your company defined by geography (countries, states, specific location), and for parts of your company defined by business code.

#### 2-1 What was the total worldwide R&D expense for your company in 2011?

**If your company is publicly traded**, this amount is equivalent to that disclosed on SEC Form 10-K as defined by FASB Statement No. 2, "Accounting for Research and Development Costs."

**If your company is foreign-owned**, refer to the instructions on page 4. Additional guidance, such as for **privately owned companies**, is available online at [www.census.gov/econhelp/brdis](http://www.census.gov/econhelp/brdis).

**NOTE:** Report your company's R&D expense even if the amount is not considered material for your company's financial statements.

\$Bil.	Mil.	Thou.
<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>

#### 2-2 Does the amount reported in Question 2-1 include any of the following costs?

- |   |                          |     |                          |    |
|---|--------------------------|-----|--------------------------|----|
| a. Collaborative research and development that was reimbursed by business partners, such as through cost-sharing agreements. . . . .      | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| b. R&D paid for by government or private foundation grants. . . . .   | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| c. Technical services not an integral part of an R&D project (such as product support provided by R&D employees). . . . .                 | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| d. Bid and proposal costs. . . . .  | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| e. Expense your company claimed resulting from the acquisition of another company with unfinished R&D projects (in-process R&D) . . . . . | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

#### 2-3 If you answered "Yes" to any of the costs in Question 2-2, what was the amount of these costs that was included in your response to Question 2-1?

\$Bil.	Mil.	Thou.
<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>

#### 2-4 Subtract Question 2-3 from Question 2-1 and enter the result here. This is the total R&D paid for by your company in 2011.

\$Bil.	Mil.	Thou.
<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>

#### 2-5 Is the amount entered in Question 2-4 greater than zero?

- Yes → **Continue with Question 2-6**
- No → **Skip to Section 3 on page 20**



**R&D paid for by your company**

**2-6** Of the amount reported in Question 2-4, what were the costs for each business code listed or amended on page 6 of this form?

**Allocate R&D that is applicable to more than one business code** on a reasonable basis. Allocation in proportion to operating revenues is acceptable unless some alternative allocation basis is more appropriate.

Business code (see page 6)	\$Bil.	Mil.	Thou.
a. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
b. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
c. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
d. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
e. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
f. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
g. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
h. <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
i. <b>Total</b> (equals Question 2-4)	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>

**2-7** Of the amount reported in Question 2-4, what costs were incurred by your company in the following locations?

	\$Bil.	Mil.	Thou.
a. Domestic United States (50 states and D.C.) [Include R&D performed by domestic operations that are paid for by foreign subsidiaries]	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
b. All other countries (also, Puerto Rico) [Include R&D performed by foreign subsidiaries that are paid for by domestic operations]	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
c. <b>Total</b> (equals Question 2-4).	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>

**2-8** Copy the amount from Question 2-7, line a. This is the total domestic R&D paid for by your company in 2011.

\$Bil.	Mil.	Thou.
<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>

**2-9** Copy the amount reported from Question 2-7, line b. This is the total foreign R&D paid for by your company in 2011.

\$Bil.	Mil.	Thou.
<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>

SECTION 2



**2-10** How much of the (1) domestic, (2) foreign, and (3) total worldwide R&D paid for by your company in 2011 was for each of the following types of costs?

	(1) Domestic			(2) Foreign			(3) Total worldwide		
	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
a. Salaries, wages, and fringe benefits	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. Stock-based compensation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Temporary staffing, including on-site consultants	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. Expensed equipment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. Materials and supplies	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. Leased facilities and equipment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. Depreciation and amortization on R&D property and equipment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. Payments to business partners for collaborative R&D	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. Purchased R&D services (if your company is foreign-owned, include payments to your foreign owner for R&D)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
j. All other purchased services except R&D	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
k. All other costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>l. Total</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Total equals Question 2-8

Total equals Question 2-9

Total equals Question 2-4



**2-11** Add 2-10, lines h and i for each column, and enter the result here.  
 This is **R&D performed by others**.

(1) Domestic			(2) Foreign			(3) Total worldwide		
\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**2-12** Subtract 2-11 from 2-10, line l, for each column and enter the result here.  
 This is **R&D performed by your company**.

(1) Domestic			(2) Foreign			(3) Total worldwide		
\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**2-13** Copy the amount from Question 2-12, column 2.  
 This is the **foreign R&D paid for and performed by your company in 2011**.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**2-14** Of the amount reported in Question 2-13, how much R&D was performed in the following locations?

	\$Bil.	Mil.	Thou.		\$Bil.	Mil.	Thou.
a. Puerto Rico . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	j. Russia . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. Canada . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	k. Spain . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Europe</b>							
a. Austria . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	l. Sweden . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. Belgium . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	m. Switzerland . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Czech Rep. . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	n. United Kingdom . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. Denmark . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	o. Other Europe . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. France . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<b>Latin America</b>			
f. Ireland . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	a. Argentina . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. Italy . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	b. Brazil . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. Netherlands . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	c. Chile . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. Poland . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	d. Mexico . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
				e. Other Latin America . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>

Question continues on next page



**2-14 (Continued)**

<b>Asia and Pacific</b>			\$Bil.	Mil.	Thou.	<b>Middle East</b>			\$Bil.	Mil.	Thou.
a. Australia . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	a. Israel . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. China . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	b. Other Middle East . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Hong Kong . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<b>Africa</b>			\$Bil.	Mil.	Thou.
d. India . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	a. South Africa . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. Indonesia . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	b. Other Africa . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. Japan . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<b>Total</b> (equals Question 2-13) . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. South Korea . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>						
h. Malaysia . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>						
i. New Zealand . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>						
j. Singapore . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>						
k. Taiwan . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>						
l. Thailand . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>						
m. Other Asia/Pacific . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>						

**2-15 Copy the amount from Question 2-12, column 1. This is the domestic R&D paid for and performed by your company in 2011.**

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>



**2-16** How much of the amount reported in Question 2-15 was performed in each state (including D.C.) in 2011?

	\$Bil.	Mil.	Thou.		\$Bil.	Mil.	Thou.
Alabama . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Maine . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Alaska . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Maryland . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Arizona . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Massachusetts . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Arkansas . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Michigan . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
California . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Minnesota . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Colorado . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Mississippi . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Connecticut . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Missouri . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Delaware . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Montana . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
District of Columbia . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Nebraska . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Florida . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Nevada . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Georgia . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	New Hampshire . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Hawaii . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	New Jersey . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Idaho . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	New Mexico . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Illinois . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	New York . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Indiana . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	North Carolina . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Iowa . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	North Dakota . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Kansas . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Ohio . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Kentucky . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Oklahoma . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Louisiana . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Oregon . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>

Question continues on next page

SECTION 2



**2-16 (Continued)**

	\$Bil.	Mil.	Thou.		\$Bil.	Mil.	Thou.
Pennsylvania . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Vermont . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Rhode Island . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Virginia . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
South Carolina . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Washington . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
South Dakota . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	West Virginia . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Tennessee . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Wisconsin . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Texas . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	Wyoming . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
Utah . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	<b>Total</b> (equals Question 2-15) . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>

**2-17 At what domestic location did your company perform the largest dollar amount of R&D in 2011?**

**Address 1**

**Address 2**

**City**

**State**

**ZIP**

**2-18 How much of the amount reported in Question 2-15 was from the location identified in Question 2-17?**

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>





**2-19 At what domestic location did your company perform the second largest dollar amount of R&D in 2011?**

**Address 1**

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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**Address 2**

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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**City**

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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**State**

<input type="text"/>	<input type="text"/>
----------------------	----------------------

**ZIP**

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
----------------------	----------------------	----------------------	----------------------	----------------------

**2-20 How much of the amount reported in Question 2-15 was from the location identified in Question 2-19?**

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**2-21 How much of the R&D paid for by your company for each business code reported in Question 2-6 was performed by your company in the domestic U.S. (50 states and D.C.)?**

Business code (see page 6)		(1) Domestic R&D performed by your company		
		\$Bil.	Mil.	Thou.
a. <input type="text"/>	.....	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. <input type="text"/>	.....	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. <input type="text"/>	.....	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. <input type="text"/>	.....	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. <input type="text"/>	.....	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. <input type="text"/>	.....	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. <input type="text"/>	.....	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. <input type="text"/>	.....	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. <b>Total</b>	.....	<input type="text"/>	<input type="text"/>	<input type="text"/>

Total equals Question 2-15



**Domestic R&D paid for by foreign subsidiaries**

**2-22 How much of the amount reported in Question 2-15 was paid for by your company's foreign subsidiaries?**

**Example:** Company Y owns a subsidiary in France. In order to complete the development of a product in 2011, the French subsidiary paid for R&D performed at Company Y's U.S. R&D center. The cost of the U.S. R&D that was paid for by the French subsidiary would be included in this item.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**Foreign R&D paid for by domestic operations**

**2-23 How much of the amount reported in Question 2-14 was paid for by your company's domestic operations?**

**Example:** Company Z owns a subsidiary in France. In order to complete the development of a product in 2011, the domestic operations paid for R&D performed at its subsidiary's R&D center in France. The cost of the French subsidiary's R&D that was paid for by the domestic operations would be included in this item.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**R&D performed by others**

**2-24 Copy the amount from Question 2-11, column 1. This is the domestic R&D paid for by your company in 2011 that was performed by others.**

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**2-25 How much of the amount reported in Question 2-24, was performed by the following types of organizations?**

	\$Bil.	Mil.	Thou.
a. Companies located <u>inside</u> the United States . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. Your company's foreign owner (if your company is foreign-owned) . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Other companies located <u>outside</u> the United States . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. U.S. federal government agencies or laboratories. . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. U.S. state and local government agencies or laboratories. . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. Foreign government agencies or laboratories . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. All other organizations <u>inside</u> the United States . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. All other organizations <u>outside</u> the United States . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. <b>Total domestic R&amp;D paid for by your company that was performed by others</b> (equals Question 2-24) . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>



**Projected R&D for 2012**

**2-26** What are your company's projected 2012 costs for (1) domestic, (2) foreign, and (3) total worldwide R&D paid for by your company?

**NOTE:** This amount is the 2012 projection for what is reported in Question 2-10, line I.

(1) Domestic			(2) Foreign			(3) Total worldwide		
\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**2-27** How much of the amount reported in Question 2-26, column 1, is for projected purchased R&D services and projected payments to business partners for collaborative R&D?

Domestic		
\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**2-28** What was the amount of your company's capital expenditures in the domestic United States in 2011?

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**2-29** How much of the amount reported in Question 2-28 was for R&D operations?

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**Reporting information**

**2-30** Is the information in this section reported for the 2011 calendar year?

Yes

No → Enter time period covered below:

From  (MM)  (YYYY) to  (MM)  (YYYY)



# SECTION 3

## Financial Schedule B

**Who should answer this section?**

Persons familiar with accounting concepts and with access to financial records related to your company's R&D activities should complete this section.

**What does this section cover?**

This section requests financial information about your company's costs for work that was funded, paid for, or reimbursed by others. This section requests information about these costs at multiple levels of detail: for your worldwide consolidated enterprise, for units or parts of your company defined by geography (countries, states), and for parts of your company defined by business code.

**3-1 What were your company's total worldwide costs (both direct and indirect) in 2011 for the following that were funded, paid for, or reimbursed by others not owned by your company?**

**Exclude:**

- Costs that were paid for by your company, such as those reported in Question 2-4
- Payments in excess of the actual cost of the work performed (such as profit or fees)

	\$Bil.	Mil.	Thou.
a. R&D that was reimbursed by your company's foreign owner, if your company was foreign-owned . . . . .	□ □	□ □ □	□ □ □
b. Collaborative R&D that was reimbursed by business partners, such as through cost-sharing agreements. . . . .	□ □	□ □ □	□ □ □
c. R&D paid for by government or private foundation grants . .	□ □	□ □ □	□ □ □
d. Defense R&D services provided to the government and/or government contractors . . . . .	□ □	□ □ □	□ □ □
e. Medical nonclinical R&D services provided to others not owned by your company. . . . .	□ □	□ □ □	□ □ □
f. Medical clinical trial phase I-III services provided to others not owned by your company (include pass-through costs) . .	□ □	□ □ □	□ □ □
g. Nondefense custom software development and/or computer systems designed for others not owned by your company. . . . .	□ □	□ □ □	□ □ □

**Exclude:**

- Software development that does not depend on a scientific or technological advance, such as adding functionality to existing application programs, debugging systems, and adapting existing software

h. Developing, producing, and testing prototypes of customer's products prior to their introduction to the market (excluding defense-related prototyping reported in line d) . . . . .	□ □	□ □ □	□ □ □
i. All other R&D services provided to others not owned by your company. . . . .	□ □	□ □ □	□ □ □
j. <b>Total.</b> . . . . .	□ □	□ □ □	□ □ □

SECTION 3



**3-2** Copy the amount from Question 3-1, line j. This is the total R&D paid for by others in 2011.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**3-3** Is the amount entered in Question 3-2 greater than zero?

- Yes → Continue with Question 3-4
- No → Skip to Section 4 on page 32

**R&D paid for by others**

**3-4** Of the amount reported in Question 3-2, what costs were incurred by your company in the following locations?

	\$Bil.	Mil.	Thou.
a. Domestic United States (50 states and D.C.) . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. All other countries (also, Puerto Rico) . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. <b>Total</b> (equals Question 3-2). . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>

**3-5** Copy the amount from Question 3-4, line a. This is the total domestic R&D paid for by others in 2011.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**3-6** Copy the amount from Question 3-4, line b. This is the total foreign R&D paid for by others in 2011.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

SECTION 3



**3-7** How much of the (1) domestic, (2) foreign, and (3) total worldwide R&D paid for by others in 2011 was for each of the following types of costs?

	(1) Domestic			(2) Foreign			(3) Total worldwide		
	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
a. Salaries, wages, and fringe benefits	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. Stock-based compensation	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Temporary staffing, including on-site consultants	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. Expensed equipment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. Materials and supplies	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. Leased facilities and equipment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. Depreciation and amortization on R&D property and equipment	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. Payments to business partners for collaborative R&D	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. Purchased R&D services (if your company is foreign-owned, include payments to your foreign owner for R&D)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
j. All other purchased services except R&D	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
k. All other costs	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>l. Total</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Total equals Question 3-5

Total equals Question 3-6

Total equals Question 3-2



**3-8 Add 3-7, lines h and i for each column, and enter the result here. This is R&D performed by others (e.g., subcontracted/passed-through R&D costs).**

(1) Domestic			(2) Foreign			(3) Total worldwide		
\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**3-9 Subtract 3-8 from 3-7, line l, for each column and enter the result here. This is R&D performed by your company that was paid for by others.**

(1) Domestic			(2) Foreign			(3) Total worldwide		
\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

**3-10 Copy the amount from Question 3-9, column 2. This is the foreign R&D performed by your company that was paid for by others.**

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**3-11 Of the amount reported in Question 3-10, how much R&D was performed in the following locations?**

	\$Bil.	Mil.	Thou.		\$Bil.	Mil.	Thou.
a. Puerto Rico . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	j. Japan . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. Canada . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	k. Russia . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. China . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	l. Singapore . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. France . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	m. South Korea . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. Germany . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	n. Sweden . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. India . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	o. United Kingdom . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. Ireland . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	p. All other . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. Israel . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>	q. <b>Total</b> (equals Question 3-10)	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. Italy . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>				

SECTION 3



**Domestic R&D performed by your company that was paid for by others**

**3-12** Copy the amount from Question 3-9, column 1. This is the domestic R&D performed by your company that was paid for by others.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**3-13** How much of the domestic R&D performed by your company that was paid for by others reported in Question 3-12 was for each business code listed or amended on page 6 of this form?

**Allocate R&D that is applicable to more than one business code** on a reasonable basis. Allocation in proportion to operating revenues is acceptable unless some alternative allocation basis is more appropriate.

Business code (see page 6)	\$Bil.	Mil.	Thou.
a. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. <b>Total</b> (equals Question 3-12)	<input type="text"/>	<input type="text"/>	<input type="text"/>





**3-14 How much of the amount reported in Question 3-12 was paid for by each of the following?**

**If your company is a subcontractor or subgrantee, report the original source of funds.**

**Example:** Company Sub Inc. performs custom software development for a large defense company as a subcontractor on a contract with the U.S. Dept. of Defense. Even though Sub Inc. is working directly for the defense company, it reports the cost of this development in line d because the Dept. of Defense was the original source of funds.

	\$Bil.	Mil.	Thou.
a. Other companies located <u>inside</u> the United States . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. Your company's foreign owner (if your company is foreign-owned) . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. Other companies located <u>outside</u> the United States . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. U.S. federal government agencies or laboratories . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. U.S. state government agencies or laboratories . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. Foreign government agencies or laboratories . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. All other organizations <u>inside</u> the United States . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
h. All other organizations located <u>outside</u> the United States . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
i. <b>Total</b> (equals Question 3-12). . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>

**3-15 Copy the amount from Question 3-14, line d. This is domestic R&D performed by your company that was paid for by the U.S. federal government.**

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

SECTION 3



**3-16 How much of the amount reported in Question 3-15 was paid for by the following agencies?**

	\$Bil.	Mil.	Thou.
a. Department of Defense . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. Department of Energy . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. National Aeronautics and Space Administration . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
d. National Institutes of Health . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
e. All other . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
f. <b>Total</b> (equals Question 3-15). . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>

**3-17 Subtract Question 3-15 from Question 3-12 and enter the result here. This is the domestic R&D performed by your company that was paid for by nonfederal sources.**

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**3-18 How much of the following three amounts was performed in each state (including D.C.):**

- (1) Domestic R&D paid for by the U.S. federal government reported in Question 3-15
- (2) Domestic R&D paid for by nonfederal sources reported in Question 3-17
- (3) Total domestic R&D performed by your company that was paid for by others reported in Question 3-12

	(1) Federal			(2) Nonfederal			(3) Total		
	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
Alabama	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Alaska	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Arizona	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Arkansas	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
California	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Question continues on next page



**3-18 (Continued)**

	<b>(1) Federal</b>			<b>(2) Nonfederal</b>			<b>(3) Total</b>		
	<u>\$Bil.</u>	<u>Mil.</u>	<u>Thou.</u>	<u>\$Bil.</u>	<u>Mil.</u>	<u>Thou.</u>	<u>\$Bil.</u>	<u>Mil.</u>	<u>Thou.</u>
Colorado	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Connecticut	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Delaware	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
District of Columbia	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Florida	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Georgia	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Hawaii	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Idaho	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Illinois	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Indiana	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Iowa	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Kansas	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Kentucky	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Question continues on next page

SECTION 3



**3-18 (Continued)**

	<b>(1) Federal</b>			<b>(2) Nonfederal</b>			<b>(3) Total</b>		
	<u>\$Bil.</u>	<u>Mil.</u>	<u>Thou.</u>	<u>\$Bil.</u>	<u>Mil.</u>	<u>Thou.</u>	<u>\$Bil.</u>	<u>Mil.</u>	<u>Thou.</u>
Louisiana	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maine	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maryland	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Massachusetts	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Michigan	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Minnesota	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mississippi	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Missouri	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Montana	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Nebraska	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Nevada	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
New Hampshire	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
New Jersey	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Question continues on next page



**3-18 (Continued)**

	<b>(1) Federal</b>			<b>(2) Nonfederal</b>			<b>(3) Total</b>		
	<u>\$Bil.</u>	<u>Mil.</u>	<u>Thou.</u>	<u>\$Bil.</u>	<u>Mil.</u>	<u>Thou.</u>	<u>\$Bil.</u>	<u>Mil.</u>	<u>Thou.</u>
New Mexico	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
New York	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
North Carolina	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
North Dakota	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Ohio	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Oklahoma	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Oregon	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Pennsylvania	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Rhode Island	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
South Carolina	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
South Dakota	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Tennessee	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Texas	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Question continues on next page

SECTION 3



**3-18 (Continued)**

	(1) Federal			(2) Nonfederal			(3) Total		
	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.	\$Bil.	Mil.	Thou.
Utah	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Vermont	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Virginia	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Washington	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
West Virginia	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Wisconsin	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Wyoming	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Total</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<i>Total equals Question 3-15</i>			<i>Total equals Question 3-17</i>			<i>Total equals Question 3-12</i>		

**3-19 At what domestic location did your company perform the largest dollar amount of R&D that was paid for by others in 2011?**

**Address 1**

**Address 2**

**City**

**State**

**ZIP**

**3-20 How much of the amount reported in Question 3-12 was from the location identified in Question 3-19?**

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>



**3-21** At what domestic location did your company perform the second largest dollar amount of R&D that was paid for by others in 2011?

Address 1

Address 2

City

State

ZIP

**3-22** How much of the amount reported in Question 3-12 was from the location identified in Question 3-21?

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**Projected R&D paid for by others in 2012**

**3-23** What are your company's projected 2012 costs for R&D that will be paid for by others?

**NOTE:** This amount is the 2012 projection for what is reported in Question 3-2.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**3-24** How much of the projected costs in 2012 for R&D that will be paid for by others reported in Question 3-23 will be performed by your company in the United States?

**NOTE:** This amount is the 2012 projection for what is reported in Question 3-12.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**3-25** How much of the projected costs in 2012 for domestic R&D performed by your company that will be paid for by others reported in Question 3-24 will be paid for by the U.S. federal government?

**NOTE:** This amount is the 2012 projection for what is reported in Question 3-15.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

SECTION 3



# SECTION 4

## Management and Strategy of R&D

**Who should answer this section?**

Persons familiar with the technical, managerial, and strategic aspects of your company's R&D should complete this section.

**What does this section cover?**

This section requests information about the characteristics of the R&D reported in Sections 2 and 3. This section requests information about your company's worldwide consolidated R&D and the R&D your company performs in the domestic United States.

**4-1 Copy the amount from Question 2-4. This is the total R&D paid for by your company in 2011.**

\$Bil.	Mil.	Thou.
<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>

**4-2 Is the amount entered in Question 4-1 greater than zero?**

- Yes → **Continue with Question 4-3**
- No → **Skip to Question 4-10 on page 33**

### Characteristics of domestic R&D paid for and performed by your company

**4-3 Copy the amount from Question 2-15. This is the domestic R&D paid for and performed by your company.**

\$Bil.	Mil.	Thou.
<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>

**4-4 How much of the amount reported in Question 4-3 was for the following categories?**

- a. Research—the planned, systematic pursuit of new knowledge or understanding. . . . .
- b. Development—the systematic use of research and practical experience to produce new or significantly improved goods, services, or processes . . . . .
- c. **Total** (equals Question 4-3). . . . .

\$Bil.	Mil.	Thou.
<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>
<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>
<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>

**4-5 If you reported any research in Question 4-4, line a, how much of that research was for the following categories?**

- a. Applied research—the activity aimed at solving a specific problem or meeting a specific commercial objective. . . . .
- b. Basic research—the activity aimed at acquiring new knowledge or understanding without specific immediate commercial application or use. . . . .
- c. **Total** (equals Question 4-4, line a) . . . . .

\$Bil.	Mil.	Thou.
<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>
<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>	<input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/> <input style="width: 20px; height: 20px; border: 1px solid black;" type="text"/>
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SECTION 4





### Areas of application for domestic R&D paid for and performed by your company

**NOTE:** You may report the same R&D in multiple areas for Questions 4-6 to 4-7.

**4-6** What percentage of the amount reported in Question 4-3 had energy applications, including energy production, distribution, storage, and efficiency (excluding exploration and prospecting)?

**Example:** Company B is a semiconductor manufacturer. Its products are not designed specifically for energy applications. In 2011, 10% of the domestic R&D performed by the company was focused on improving the energy efficiency of its products. Based on this, Company B reports "10%" for this question.

    %

**4-7** What percentage of the amount reported in Question 4-3 had environmental protection applications, including pollution abatement?

    %

### Technology focus of domestic R&D paid for and performed by your company

**NOTE:** You may report the same R&D in multiple areas for Questions 4-8 to 4-9.

**4-8** What percentage of the amount reported in Question 4-3 was for biotechnology—the use of cellular and bio-molecular processes to solve problems or make useful products?

    %

**4-9** What percentage of the amount reported in Question 4-3 was for nanotechnology—the science and technology involving work at the nanometer scale?

    %

### Domestic R&D performed by your company that was paid for by others

**4-10** Copy the amount from Question 3-12. This is the domestic R&D performed by your company that was paid for by others.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**4-11** Is the amount entered in Question 4-10 greater than zero?

- Yes → Continue with Question 4-12
- No → Skip to Section 5 on page 36



**4-12 How much of the amount reported in Question 4-10 was for the following categories?**

	\$Bil.	Mil.	Thou.
a. <u>Research</u> —the planned, systematic pursuit of new knowledge or understanding. . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. <u>Development</u> —the systematic use of research and practical experience to produce new or significantly improved goods, services, or processes . . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. <b>Total</b> (equals Question 4-10). . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>

**4-13 If you reported any research in Question 4-12, line a, how much of that research was for the following categories?**

	\$Bil.	Mil.	Thou.
a. <u>Applied research</u> —the activity aimed at solving a specific problem or meeting a specific commercial objective. . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. <u>Basic research</u> —the activity aimed at acquiring new knowledge or understanding without specific immediate commercial application or use. . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. <b>Total</b> (equals Question 4-12, line a). . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>

**NOTE: You may report the same R&D in multiple areas for Questions 4-14 to 4-17.**

**4-14 What percentage of the amount reported in Question 4-10 had energy applications, including energy production, distribution, storage, and efficiency (excluding exploration and prospecting)?**  %

**4-15 What percentage of the amount reported in Question 4-10 had environmental protection applications, including pollution abatement?**  %

**4-16 What percentage of the amount reported in Question 4-10 was for biotechnology—the use of cellular and bio-molecular processes to solve problems or make useful products?**  %

**4-17 What percentage of the amount reported in Question 4-10 was for nanotechnology—the science and technology involving work at the nanometer scale?**  %

SECTION 4



**Domestic R&D performed by your company that was paid for by the U.S. federal government**

**4-18** Copy the amount from Question 3-15. This is domestic R&D performed by your company that was paid for by the U.S. federal government.

\$Bil.	Mil.	Thou.
<input type="text"/>	<input type="text"/>	<input type="text"/>

**4-19** Is the amount entered in Question 4-18 greater than zero?

- Yes → Continue with Question 4-20
- No → Skip to Section 5 on page 36

**4-20** How much of the amount reported in Question 4-18 was for the following categories?

	\$Bil.	Mil.	Thou.
a. <u>Research</u> —the planned, systematic pursuit of new knowledge or understanding. . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. <u>Development</u> —the systematic use of research and practical experience to produce new or significantly improved goods, services, or processes. . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. <b>Total</b> (equals Question 4-18). . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>

**4-21** If you reported any research in Question 4-20, line a, how much of that research was for the following categories?

	\$Bil.	Mil.	Thou.
a. <u>Applied research</u> —the activity aimed at solving a specific problem or meeting a specific commercial objective. . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
b. <u>Basic research</u> —the activity aimed at acquiring new knowledge or understanding without specific immediate commercial application or use. . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>
c. <b>Total</b> (equals Question 4-20, line a). . . . .	<input type="text"/>	<input type="text"/>	<input type="text"/>

SECTION 4



# SECTION 5

## Human Resources

**Who should answer this section?**

Persons familiar with human resources concepts and with access to records related to your company's employees should complete this section.

**What does this section cover?**

This section requests information about your company's employees, focusing on those who worked on R&D activities either full-time or part-time.

**5-1 What was the total number of worldwide employees working at your company for the pay period that included March 12, 2011?**

**Include:**

- Full- and part-time employees

**Exclude:**

- Leased or temporary employees and on-site consultants

**Number**

--	--	--	--	--	--

**5-2 How many of the employees reported in Question 5-1 were employees of your company's domestic operations and foreign operations?**

**Domestic operations employees** include all employees whose payroll was reported on IRS Form 941, Employer's Quarterly Tax Return.

	(1) Domestic operations	(2) Foreign operations	(3) Total employees																		
Employees . . . . .	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>						

*Total equals  
Question 5-1*

**5-3 How many employees reported in Question 5-2 were R&D employees?**

**R&D employees include** all employees who work on R&D or who provide direct support to R&D, such as researchers, R&D managers, technicians, clerical staff, and others assigned to R&D groups.

**R&D employees exclude** employees who provide indirect support to R&D, such as corporate personnel, security guards, and cafeteria workers.

	(1) Domestic operations	(2) Foreign operations	(3) Total employees																		
a. R&D employees . . . . .	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>						
b. All other employees . . .	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>						
c. <b>Total employees</b> . . . . .	<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>							<table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> <td style="width: 20px; height: 25px;"> </td> </tr> </table>						

*Total line equals Question 5-2*

SECTION 5



**R&D employees**

**5-4** Copy the numbers from Question 5-3, line a. These are your company's R&D employees.

	(1) Domestic operations	(2) Foreign operations	(3) Total R&D employees
R&D employees . . . . .	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

**5-5** How many of the R&D employees reported in Question 5-4 were female employees and male employees?

	(1) Domestic operations	(2) Foreign operations	(3) Total R&D employees
a. Female R&D employees	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
b. Male R&D employees . .	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
c. <b>Total R&amp;D employees</b>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Total line equals Question 5-4

**5-6** How many of the R&D employees reported in Question 5-4 worked in the occupations listed below?

	(1) Domestic operations	(2) Foreign operations	(3) Total R&D employees
a. R&D scientists, engineers, and managers . . . . .	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
b. R&D technicians and technologists. . . . .	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
c. R&D support staff (clerical and other) . . . .	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
d. <b>Total R&amp;D employees</b>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Total line equals Question 5-4



**Domestic full-time equivalents (FTEs)**

**5-7** Of the domestic R&D employees reported in Question 5-6, line d, what was the number of domestic full-time equivalent (FTE) R&D employees?

**The number of full-time equivalent R&D employees may differ from the number of R&D employees reported in Question 5-6.** Count each R&D employee who works full-time on R&D activities as 1 FTE. Count each R&D employee who works part-time on R&D activities using the fraction of the time he/she devotes to R&D activity. For example, an R&D employee who works half-time on R&D activity would be counted as one-half (1/2) of an FTE employee. Similarly, a full-time employee who devotes 25% of her time to R&D would be counted as one quarter (1/4) of an R&D FTE employee.

	(1) Domestic operations	(2) Foreign operations	(3) Total R&D employees
a. Full-time R&D . . . . .	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
b. Part-time R&D . . . . .	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

**Examples of part-time R&D:**  
 Full-time scientist works on R&D only half of the time = .5 FTE  
 Part-time engineer works 10 hours a week on R&D = .25 FTE

c. Total . . . . .	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
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**5-8** Of the domestic R&D scientists, engineers, and their managers reported in Question 5-6, line a, what was the number of domestic full-time equivalent (FTE) scientists, engineers, and their managers?

	(1) Domestic operations	(2) Foreign operations	(3) Total R&D employees
a. Full-time R&D . . . . .	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
b. Part-time R&D . . . . .	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

**Examples of part-time R&D:**  
 Full-time scientist works on R&D only half of the time = .5 FTE  
 Part-time engineer works 10 hours a week on R&D = .25 FTE

c. Total . . . . .	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
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SECTION 5



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## SECTION 6

### Intellectual Property and Technology Transfer

#### Who should answer this section?

Persons with an understanding of your company's general business strategy and knowledge of its patenting, licensing, and other activities related to intellectual property should complete this section.

#### What does this section cover?

This section requests information about intellectual property and technology transfer activities such as:

- Patents
- Patent licensing
- Protection of intellectual property
- Transfer of intellectual property

#### Are responses to this survey confidential?

Yes. Your responses are completely confidential under Title 13, United States Code, and are seen only by persons sworn to uphold the confidentiality of Census Bureau information. Data provided will be used only to publish summary statistics that do not identify individual companies. Title 13 also provides that copies of reports retained in your files are immune from legal process. In addition, reported data are exempt from requests made under the Freedom of Information Act.

#### Patents

<b>6-1</b>	<b>How many patents did your company <u>apply for</u> in 2011 from the U.S. Patent and Trademark Office (USPTO)?</b>	<b>Number</b>
		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

<b>6-2</b>	<b>What percentage of the patent applications reported in Question 6-1 has your company applied for or plans to apply for in foreign jurisdictions?</b>	<input type="text"/> <input type="text"/> <input type="text"/> %
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<b>6-3</b>	<b>What percentage of the patent applications reported in Question 6-1 was for inventions that originated within your company's organized R&amp;D activities?</b>	<input type="text"/> <input type="text"/> <input type="text"/> %
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<b>6-4</b>	<b>How many patents were <u>issued</u> to your company in 2011 by the USPTO?</b>	<b>Number</b>
		<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

<b>6-5</b>	<b>What percentage of your company's inventions <u>considered</u> for patenting in 2011 resulted in patent applications?</b>	<input type="text"/> <input type="text"/> <input type="text"/> %
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#### Patent licensing

<b>6-6</b>	<b>What was the amount of your company's patent licensing revenue in 2011?</b>	\$Bil.	Mil.	Thou.
		<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>





**6-7 How many new agreements did your company enter into during 2011 to license patents to others not owned by your company?**

Number

**Intellectual property transfer activities**

**6-8 Did your company perform the following activities in 2011?**

- a. Transferred intellectual property (IP) to others not owned by your company through participation in technical assistance or "know how" agreements . . . . .  Yes  No
- b. Received IP from others not owned by your company through participation in technical assistance or "know how" agreements . . . . .  Yes  No
- c. Transferred IP to a spin-off or spin-out of your company. . . . .  Yes  No
- d. Received IP from a parent company as part of a spin-off or spin-out. . .  Yes  No
- e. Acquired more than 50% ownership in another company for the primary purpose of acquiring their IP. . . . .  Yes  No
- f. Acquired any financial interest in another company in order to gain access to their IP . . . . .  Yes  No
- g. Participated in cross-licensing agreements—the agreements in which two or more parties grant a license to each other for the use of the subject matter claimed in one or more of the patents owned by each party. . . . .  Yes  No
- h. Allowed free use of patents or other IP owned by your company (for example, allowing free use of software patents by the open source community) . . . . .  Yes  No
- i. Made use of open source patents or other freely available IP not owned by your company. . . . .  Yes  No

**Intellectual property protection**

**6-9 During 2011, how important to your company were the following types of intellectual property protection?**

- |   | Very important           | Somewhat important       | Not important            |
|---|--------------------------|--------------------------|--------------------------|
| a. Utility patents (patents for invention) . . . . .            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Design patents (patents for appearance). . . . .             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Trademarks. . . . .  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d. Copyrights . . . . .   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| e. Trade secrets . . . . .                                      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| f. Mask works (copyright protection for semiconductor products) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |



**Business codes**

(used in Sections 1, 2, 3, and 7)

**Aerospace and Defense**

- 33642 Aircraft engine and engine parts manufacturing
- 33641 Aircraft manufacturing
- 33644 Guided missiles, space vehicles, and parts manufacturing
- 33692 Military armored vehicle, tank, and tank components manufacturing
- 33643 Other aircraft parts and auxiliary equipment manufacturing
- 33452 Search, detection, navigation, guidance, aeronautical, and nautical system and instruments manufacturing
- 33660 Ship and boat building

**Automobiles, Motorcycles, and Components**

- 33620 Motor vehicle body and trailer manufacturing
- 33630 Motor vehicle parts manufacturing
- 33610 Motor vehicles manufacturing
- 33691 Motorcycle, bicycle, and parts manufacturing
- 33651 Railroad rolling stock manufacturing
- 33660 Ship and boat building
- 33699 All other transportation equipment manufacturing

**Capital Equipment**

- 33311 Agricultural machinery and equipment manufacturing
- 33332 Commercial, service industry, temperature control, and airflow control machinery manufacturing
- 33312 Construction machinery manufacturing
- 33500 Electrical equipment, appliances, and components manufacturing
- 33360 Engine, turbine, and power transmission equipment manufacturing
- 33322 Industrial machinery manufacturing, except semiconductor machinery
- 33390 Metalworking and other general purpose machinery manufacturing
- 33319 Mining, oil, and gas field machinery and equipment manufacturing
- 33331 Photographic and photocopying equipment manufacturing

**Chemicals and Materials**

- 32402 Asphalt paving, roofing, and saturated materials manufacturing
- 32510 Basic chemicals manufacturing
- 32790 Cement, concrete, lime, gypsum, and other nonmetallic mineral product manufacturing
- 32710 Clay and glass products manufacturing
- 21200 Mining
- 32403 Other petroleum and coal products manufacturing, including motor oil, hydraulic fluid, and charcoal
- 32592 Paint, adhesive, and other chemical manufacturing
- 32200 Paper manufacturing
- 32530 Pesticide, fertilizer, and other agricultural chemical manufacturing
- 32600 Plastics and rubber products manufacturing
- 33100 Primary metal manufacturing
- 32520 Resin, synthetic rubber, and artificial synthetic fibers and filaments manufacturing
- 32591 Soap, cleaning compound, and toilet preparations manufacturing
- 32100 Wood products manufacturing

**Consumer Goods**

- 33430 Audio and video equipment manufacturing
- 31210 Beverage manufacturing
- 33200 Fabricated metal products manufacturing
- 31100 Food manufacturing
- 33700 Furniture and related products manufacturing
- 33990 Miscellaneous manufacturing not listed elsewhere (games, office supplies, slot machines, etc.)
- 32300 Printing and related support activities
- 32591 Soap, cleaning compound, and toilet preparations manufacturing
- 31990 Textile, apparel, and leather products manufacturing
- 31220 Tobacco manufacturing

**Energy and Mining**

- 33360 Engine, turbine, and power transmission equipment manufacturing
- 21200 Mining
- 33319 Mining, oil, and gas field machinery and equipment manufacturing
- 21100 Oil and gas extraction
- 32401 Petroleum refineries
- 21300 Support activities for mining, including oil and gas

**Finance, Insurance, and Real Estate**

- 52200 Finance: banking and credit intermediation
- 52400 Insurance carriers and related activities
- 53100 Real estate
- 52310 Securities, commodity contracts, and other financial investments and related activities (including funds and trusts)

**Healthcare**

- 33451 Electromedical, electrotherapeutic and irradiation apparatus manufacturing
- 62200 Hospitals and nursing care facilities
- 32542 In vitro diagnostic substances manufacturing
- 62150 Medical and diagnostic laboratories
- 33910 Medical equipment and supplies manufacturing
- 62110 Offices of physicians
- 62199 Other ambulatory health care services (ambulance, dental, home health care)
- 32541 Pharmaceutical, medicinal, botanical, and biological products (except diagnostic) manufacturing
- 54173 Research and development services in biotechnology
- 54174 Research and development services in physical, engineering, and life sciences (except biotechnology)



**Information Technology - Goods and Services**

54150 Computer systems design and related services  
 33412 Computers and peripheral equipment manufacturing, including magnetic and optical media  
 51800 Data processing, hosting, and related services  
 33500 Electrical equipment, appliances, and components manufacturing  
 45411 Electronic shopping and electronic auctions  
 33459 Measuring and control instruments manufacturing (not listed elsewhere)  
 33429 Other communication equipment manufacturing (except radio, television, and wireless communication equipment)  
 51910 Other information services, including Internet publishing, broadcasting, and web search portals  
 33422 Radio, television, and wireless communication equipment manufacturing  
 33440 Semiconductor and other electronic components manufacturing  
 33321 Semiconductor machinery manufacturing  
 51120 Software publishers (except Internet)  
 33421 Telephone apparatus manufacturing including routers, modems, and gateways  
 42500 Wholesale electronic markets and agents and brokers (business to business)

**Professional, Scientific, and Technical Services**

54180 Advertising and related services  
 54130 Architectural, engineering, and related services  
 54150 Computer systems design and related services  
 54111 Legal, accounting, tax preparation, bookkeeping and payroll services  
 54160 Management, scientific, and technical consulting services  
 54190 Professional, scientific, and technical services (not listed elsewhere)  
 54173 Research and development services in biotechnology  
 54174 Research and development services in physical, engineering, and life sciences (except biotechnology)  
 54172 Research and development services in social sciences and humanities  
 54140 Specialized design services

**Telecommunications and Utilities**

51500 Broadcasting (except Internet)  
 51790 Other telecommunications (not listed elsewhere)  
 51740 Satellite telecommunications  
 22100 Utilities  
 56200 Waste management and remediation services  
 51710 Wired telecommunications carriers  
 51720 Wireless telecommunications carriers (except satellite)

**Other Services**

72000 Accommodation and food services  
 56100 Administrative and support services  
 71000 Arts, entertainment, and recreation  
 23000 Construction  
 53300 Lessors of nonfinancial intangible assets (including patent licensing)  
 55100 Management of companies and enterprises  
 42300 Merchant wholesalers, durable goods  
 42400 Merchant wholesalers, nondurable goods  
 51200 Motion picture and sound recording (except Internet)  
 51110 Newspaper, periodical, book, and directory publishers (except Internet)  
 81000 Other services (not listed elsewhere)  
 49200 Couriers, messengers, and express delivery services  
 53200 Rental and leasing services  
 44000 Retail trade, except electronic shopping and electronic auctions  
 62400 Social assistance services  
 21300 Support activities for mining, including oil and gas  
 48000 Transportation  
 49300 Warehousing and storage



**Remarks** (Please use the space below for any explanations that may help us understand your reported data.)

We estimate that it will take from .5 to 25 hours to complete this form, with 14.9 hours being the average. This includes time to read instructions, develop or assemble materials, conduct tests, organize and review the information, and maintain and report the information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to:

Paperwork Project 0607-0912  
U.S. Census Bureau  
4600 Silver Hill Road  
AMSD-3K138  
Washington, D.C. 20233

You may e-mail comments to [Paperwork@census.gov](mailto:Paperwork@census.gov); use "Paperwork Project 0607-0912" as the subject.

~ **Thank you for completing your 2011 Business R&D and Innovation Survey** ~

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