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TO: AUTM Members

FROM: Marvin C. Guthrie, AUTM President

SUBJECT: AUTM Licensing Survey

DATE: February 12, 1998

You will find enclosed your copy of the AUTM Licensing Survey, Fiscal Year 1996, *Survey Summary*. You are also receiving a copy of a national press release that AUTM will be sending to targeted news organizations over the next week.

We hope you enjoy the report and look forward to seeing you soon at AUTM's annual meeting in San Antonio.

49 East Avenue, Norwalk, CT 06851
Phone: 203-845-9015 • Fax: 203-847-1304 • E-mail: autm@ix.netcom.com

AUTM Licensing Survey Reports

AUTM Licensing Survey: FY 1996 Survey Summary

The *FY 1996 Survey Summary* provides an overview of the larger, more detailed *Full Report*. It provides FY 1996 results for all respondents by category: U.S. Universities, U.S. Hospitals and Research Institutes, Canadian Institutions, and Patent Management Firms.

It also highlights noteworthy developments in FY 1996 and brings together aggregate information on all institutions that have ever responded to the AUTM Licensing Survey, as well as the subset of these institutions that provided information for FY 1991 - FY 1996, the six years for which AUTM survey data have been collected.

New charts are included in the *FY 1996 Survey Summary* that summarize the *aggregate responses* to new questions surveyed in FY 1996. These questions include data on the exclusivity of licenses, life and physical science activity, cashed-in equity, and program start year.

AUTM Licensing Survey: FY 1996 Full Report

The *Full Report* (an approximate 300 page report) is the most comprehensive report available on licensing activities. It includes the information contained in the *FY 1996 Survey Summary* in its entirety, as well as institution-by-institution responses to survey questions. The *Full Report* presents the data by U.S. Universities, U.S. Hospitals and Research Institutes, Canadian Institutions, and Patent Management Firms. Also included are subtotals for the institutions, summarized by those four categories of organizations.

The *Full Report* has been enhanced in FY 1996 to include new tables that contain *individual institutional responses* to the new questions surveyed in FY 1996. In addition, the tables have been expanded to include the start year for each responding institution's licensing office.

The *Full Report* is a useful tool when comparing institutional data and analyzing the AUTM Licensing Survey results.

ORDER FORM

TO: Joanne Perkins, AUTM Headquarters
49 East Avenue, Norwalk, CT 06851-3919
Ph: 203-845-9015, Fax: 203-847-1304
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I would like to purchase the following:

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New!! **6.d)** How many of the **ACTIVE LICENSES/OPTIONS** were in **LIFE SCIENCE** and how many were in **PHYSICAL SCIENCE**?

	Total # of Active Licenses/Options (Same as 6.a)	*Total # of Active Licenses/Options: Life Science*	*Total # of Active Licenses/Options: Physical Science*
Cumulative for All Years			

7. RESEARCH FUNDING RELATED TO LICENSING:

How much **RESEARCH FUNDING** was committed to your institution that was related to **LICENSE** or **OPTION AGREEMENTS** executed in Fiscal Year 1996?

Year	*# of Licenses/Options Executed (Same as 6.a)*	*Research Funding Related to FY 1996 Licenses/Options*
Fiscal Year 1996		

8. LICENSE INCOME: (exclude software end-user licenses under $1,000)

8.a) What was the amount of **LICENSE INCOME RECEIVED** at your institution and the total number of **LICENSES/OPTIONS** yielding **LICENSE INCOME** in Fiscal Year 1996? How much of the **LICENSE INCOME** was **PAID TO OTHER INSTITUTIONS**? How much of the **LICENSE INCOME** was **RECEIVED FROM OTHER INSTITUTIONS**?

Year	*License Income Received*	*Total # of Licenses/ Options Yielding License Income*	*License Income Paid to Other Institutions*	*License Income Received From Other Institutions*
Fiscal Year 1996				

New!! **8.b)** How much of the **LICENSE INCOME RECEIVED** was in **LIFE SCIENCE**? How much of the **LICENSE INCOME RECEIVED** was in **PHYSICAL SCIENCE**?

Year	*License Income Received (Same as 8.a)*	*License Income Received: Life Science*	*License Income Received: Physical Science*
Fiscal Year 1996			

12. START-UP COMPANIES:

FY 1996 data for **START-UP COMPANIES**:

12.a) How many **START-UP COMPANIES** were formed during Fiscal Year 1996 that were dependent upon the licensing of your institution's technology for initiation? _____.

New!! **12.b)** How many of these **START-UP COMPANIES** formed during Fiscal Year 1996 are **OPERATIONAL** today? _____.

New!! **12.c)** Does your institution have a policy or guidelines in place governing the licensing of technology to **INVESTIGATOR-/INSTITUTION-INITIATED START-UP COMPANIES**? ☐ Yes ☐ No

New!! **12.d)** If the answer to 12.c is "Yes," how long have the policy or guidelines been in place? _____.

Historical Data on **START-UP COMPANIES:** (The following questions apply only to those institutions that reported **START-UP COMPANIES** under the AUTM Licensing Survey for Fiscal Years 1993, 1994, or 1995. See enclosed **START-UP COMPANY INFORMATION SHEET.**)

New!! **12.e)** Using the **START-UP COMPANY INFORMATION SHEET**, (which was provided as an attachment to the cover letter to this survey and shows the previously reported data for **START-UP COMPANIES** for your institution), for the calculated sum of **START-UP COMPANIES** shown for your institution for all years, how many **START-UP COMPANIES** are **OPERATIONAL** today? _____.

New!! **12.f)** How many of your **START-UP COMPANIES** that are **OPERATIONAL** today (reported in 12.e) had **LIFE SCIENCE** as their main business focus? How many had **PHYSICAL SCIENCE** as their main business focus?

Total Start-Ups Operational Today (Same as 12.e)	*No. of Start-Ups Operational Today: Life Science*	*No. of Start-Ups Operational Today: Physical Science*

New!! **12.g)** For the calculated sum of **START-UP COMPANIES** shown for your institution on the **START-UP COMPANY INFORMATION SHEET**, in how many **START-UP COMPANIES** did your institution take **EQUITY** as part of a **LICENSE**? _____.

Return Survey to: Diane C. Hoffman, Inc., Attn: AUTM Licensing Survey, 23 Perrine Path, Cranbury, NJ 08512, Phone: (609) 799-6187, Fax: (609) 799-5247, dchoffinc@aol.com

in Fiscal Year 1996. To respond to this question, you should review the License/Option Agreements reported as executed in Question 6.a of the survey, and report the amount of Research Funding (even if multi-year) committed to the institution that was related to these Licenses/Options.

Question 8: The first portion of this question, 8.a, requests the *same information* asked in previous surveys with the exception that what once was referred to as "Royalties Received" is now being referred to as "License Income." The definition for License Income is the same as that previously used for Royalties Received. Sections 8.b and 8.c request additional detailed data. In 8.b the sum of the License Income received assigned to Life Science and Physical Science will equal License Income received for Fiscal Year 1996. In 8.c the sum of License Income apportioned to Running Royalties, Cashed-In Equity, and All Other Types will equal License Income received for Fiscal Year 1996.

Question 9: This is a new question that will provide more complete information on Equity that is related to licensing activity. It requests information for Cashed-In Equity and Value of All Equity Holdings. To compute the value of your equity holdings, refer to the definition for Value of All Equity Holdings.

Question 10: This question requests the *same information* asked in previous surveys. Total costs/reimbursements for external legal fees and reimbursements, as defined below, have been routinely reported under the survey. The definitions for Legal Fees Expenditures and Reimbursements have been clarified to state that these amounts include fees related to prosecution, maintenance, litigation, and interference costs.

Question 11: This is the *same question* asked in previous surveys. The data requested are self-explanatory.

Question 12: This question asks information for FY 1996 and requests historical data about previously submitted information on Start-Up Companies for your institution. If you did not respond to the survey in prior years, or if you did respond to the survey but did not provide data for Start-Up Companies, you will not need to answer the historical questions in the second part of this question. The information requested for 1996 is self-explanatory. The historical data will require the use of the Start-Up Company Information Sheet provided to those institutions that had reported data for Start-Up Companies in earlier surveys. If you do not have this Start-Up Company Information Sheet, but feel that it applies to your institution, you should contact Diane Hoffman at (609) 799-6187.

DEFINITIONS: (listed in alphabetical order)

0.5 PROFESSIONAL FTE: 0.5 PROFESSIONAL FTE means a professional position whose duties included support of TECHNOLOGY TRANSFER ACTIVITIES at least 50% of the time. This person may or may not have been located in a formally established TECHNOLOGY TRANSFER OFFICE at that time. (See Question 3.)

ACTIVE LICENSES/OPTIONS: The cumulative number of LICENSES/OPTIONS over all years that had not terminated by the end of the survey's fiscal year requested. (See Questions 6.a and 6.d.)

CASHED-IN EQUITY: This includes the amount received from cashing in equity holdings, resulting in a cash transfer to the institution. Excluded from this amount is any type of analysis or process whereby a value for the equity holdings is determined but a cash transaction does not take place through the sale of

includes the amount of LICENSE INCOME received from other institutions by your institution under inter-institutional agreements. (See Question 8.a.)

LICENSES/OPTIONS: LICENSES/OPTIONS may be counted by counting the number of LICENSE or OPTION AGREEMENTS that were executed in the year indicated for all technologies. Each agreement, exclusive or nonexclusive, should be counted separately. Licenses to software end-users of $1,000 or more may be counted per license, or as 1 license or 1/each for each major software product (at manager's discretion) if the total number of end-user licenses would unreasonably skew the institution's data. (See Questions 6.a-6.d, 7, and 8.a.)

LICENSE/OPTION AGREEMENTS: A LICENSE AGREEMENT formalizes the transfer of technology between two parties, the licensor and the licensee, where the owner of the technology permits the other party to share the rights to use the technology. An OPTION AGREEMENT grants the potential licensee a time period during which it may evaluate the technology and negotiate the terms of a LICENSE AGREEMENT. An OPTION AGREEMENT is *not* constituted by an Option clause in a research agreement that grants rights to future inventions, until an actual invention has occurred which is subject to that Option. (See Questions 6.a-6.d, 7, and 8.a.)

LICENSES/OPTIONS EXECUTED WITH EQUITY: The number of LICENSES/OPTIONS that were executed in the year surveyed that included EQUITY, where EQUITY is defined as an institution acquiring an ownership interest in a company. (See Question 6.a.)

LICENSES/OPTIONS YIELDING LICENSE INCOME: The number of LICENSES/OPTIONS that generated LICENSE INCOME RECEIVED in the year requested. (See Question 8.a.)

LIFE SCIENCE: All works derived from such disciplines as biology, medicine, chemistry (basic), pharmacy, medical devices, and those involving human physiology and psychology, including discipline-related inventive subject matter such as software and educational material. (See Questions 6.d, 8.b, and 12.f.)

NEW U.S. PATENT APPLICATIONS FILED: NEW U.S. PATENT APPLICATIONS FILED is a subset of TOTAL U.S. PATENT APPLICATIONS FILED. It does not include continuations, divisionals, or reissues, and typically does not include CIPs. A CIP may only be counted as a new patent application if filed with substantially new matter. A provisional application may be counted as new. (See Question 11.)

NON-EXCLUSIVE LICENSE: The assignment of a license between exclusive and non-exclusive should adhere to the terms of the license agreement. If a license is designated as non-exclusive in the license agreement, it should be assigned to non-exclusive licenses under this survey. (See Question 6.c.)

OPERATIONAL: A company that possesses sufficient financial resources and expends these resources to make progress toward stated business goals. The company must also be diligent in its efforts to achieve these goals. (See Questions 12.b, 12.e, and 12.f.)

PHYSICAL SCIENCE: All works derived from such disciplines as engineering, software, and business systems. (See Questions 6.d, 8.b, and 12.f.)

TECHNOLOGY TRANSFER ACTIVITIES: TECHNOLOGY TRANSFER ACTIVITIES include those activities associated with the evaluation, protection, marketing, and licensing of technology (including trademarks but not university's insignia) and intellectual property management, in general. It encompasses all other activities also associated with the day-to-day operations of a technology transfer office, including assisting with the negotiation of research agreements, MTAs, reporting of inventions to sponsors, and all other duties performed by the office. (See Question 3.)

TECHNOLOGY TRANSFER OFFICE: The office that manages and performs the TECHNOLOGY TRANSFER ACTIVITIES. Often referred to as a technology licensing office. (See Question 4.)

TOTAL RESEARCH EXPENDITURES: TOTAL RESEARCH EXPENDITURES include expenditures made by the institution in support of its research activities that are funded by all sources including the federal government, local government, industry, foundations, voluntary health organizations (i.e., AHA, ACS, etc.), and other nonprofit organizations. (See Question 5.)

TOTAL U.S. PATENT APPLICATIONS FILED: TOTAL U.S. PATENT APPLICATIONS FILED includes any filing made in the U.S. during the year requested, including provisional applications, new filings, CIPs, continuations, divisionals, and reissues. (See Question 11.)

U.S. PATENTS ISSUED: U.S. PATENTS ISSUED includes the number of U.S. patents issued or reissued to your institution in the year requested. (See Question 11.)

VALUE OF ALL EQUITY HOLDINGS: VALUE OF ALL EQUITY HOLDINGS refers to EQUITY that is related to licensing activity at the institution and should be determined using the following guidelines: If your institution holds equity in a publicly-traded company, use the market price of your institution's holdings on the closing day of the period for which you are reporting. If your institution holds equity in a privately-held company, use the price established in the most recent transaction as the fair market price. If your institution holds common stock, but investors are buying preferred stock which converts into common stock upon the occurrence of certain events (e.g., IPO or acquisition), calculate the value assuming conversion has occurred. (See Question 9.)

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**** As stated in the Foreword, the Full Report is available separately.***

ALL RESPONDENTS:

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	U.S. UNIVERSITIES	U.S. HOSPITALS & RESEARCH INSTITUTES	CANADIAN INSTITUTIONS (U.S. $)	PATENT MANAGEMENT FIRMS	TOTAL
Professional FTEs:					
Technology Transfer	375.14	58.35	56.50	49.00	538.99
Staff Support FTEs:					
Technology Transfer	295.48	36.15	32.25	28.00	391.88
Research Expenditures: Industrial Sources	$1,530,203,487	$277,218,702	$135,399,113	N.A.	$1,942,821,302
Research Expenditures: Federal Govt. Sources	$12,317,829,551	$1,202,526,899	$394,947,293	N.A.	$13,915,303,743
Total Sponsored Research Expenditures	$18,688,253,796	$1,867,573,130	$855,217,872	N.A.	$21,411,044,798
Licenses/Options Executed	2,209	279	206	47	2,741
Start-up Companies Formed	184	15	46	3	248
Gross License Income Received	$365,218,642	$135,037,920	$11,824,439	$79,643,112	$591,724,113
License Income Paid to Other Institutions	$28,591,054	$780,240	$294,872	$48,008,217	$77,674,383
Legal Fees Expended	$75,096,654	$14,962,777	$2,400,423	$237,000	$92,696,854
Legal Fees Reimbursed	$28,567,190	$7,735,535	$1,102,289	$0	$37,405,014
Licenses/Options Yielding License Income	4,958	676	312	217	6,163
Invention Disclosures Received	8,119	860	509	690	10,178
Total U.S. Patent Applications Filed	3,872	578	225	58	4,733
New U.S. Patent Applications Filed	2,734	341	137	49	3,261
U.S. Patents Issued	1,776	199	93	27	2,095

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Attachment E

(Ranked by FY 1996 Total Sponsored Research Expenditures)

U.S. UNIVERSITIES: Name of Institution	Year 0.5 Prof. FTE Devoted to Tech. Transfer	FY 1996 Total Sponsored Research Expenditures	FY 1996 Invention Disclosures Received	FY 1996 Total U.S. Patent Applications Filed	FY 1996 Licenses & Options Executed	FY 1996 Gross License Income Received	FY 1996 Licenses & Options Yielding License Income	FY 1996 Legal Fees Expended	FY 1996 Legal Fees Reimbursed	FY 1996 U.S. Patents Issued	FY 1996 Start-up Companies Formed
Georgia Institute of Technology	1990	$193,122,150	150	61	8	$2,117,885	85	$391,365	$40,615	25	0
Iowa State University	1935	$182,000,000	155	79	114	$3,500,000	133	$1,500,000	$130,400	46	4
Univ. of Chicago-ARCH Dev. Corp.	1986	$181,200,000	158	31	8	$12,539,811	36	$1,019,728	$924,704	19	0
Indiana University	1991	$180,414,000	42	33	18	$179,000	33	$310,000	$108,000	11	1
Baylor College of Medicine	1983	$174,100,000	73	36	16	$2,499,000	74	$561,000	N.A.	4	1
Univ. of Massachusetts, All Campuses	1995	$172,408,079	64	N.A.	5	$754,000	10	N.A.	N.A.	6	2
Northwestern University	N.A.	$171,598,860	91	50	20	$1,053,881	34	$444,650	$280,854	15	2
Univ. of Alabama/Birmingham	1987	$170,193,000	103	45	27	$1,139,656	49	$321,645	$28,421	12	3
Univ. of Virginia Patents Fndtn.	1977	$169,994,072	63	28	20	$3,408,377	90	$172,809	$65,000	9	1
Univ. of Miami	1989	$166,800,518	22	11	15	$185,700	19	$109,616	$53,922	6	2
Carnegie Mellon University	1992	$164,982,731	83	18	10	$7,135,262	13	$461,685	$48,175	8	2
Univ. of Utah	1968	$163,000,000	139	46	48	$2,620,808	63	$373,036	$117,221	22	6
Univ. of Tennessee Research Corp.	1983	$159,457,000	57	13	10	$1,690,000	30	$522,000	N.A.	10	0
Univ. of Rochester	1980	$155,000,000	62	22	8	$3,763,542	24	$306,742	$102,386	5	0
Rutgers, The State University of NJ	1989	$148,045,292	92	56	42	$3,546,737	164	$748,050	$287,486	17	2
Emory University	1985	$146,000,000	63	34	11	$2,580,000	17	$1,200,000	$941,000	11	0
New York University	1989	$146,000,000	49	29	N.A.	$700,000	12	$765,000	$405,000	12	1
Univ. of Texas Southwestern Med. Ctr.	1990	$144,120,325	73	23	20	$2,939,965	49	$899,261	$266,705	16	0
Virginia Tech Intellectual Properties, Inc.	1985	$143,815,000	89	21	28	$1,057,034	60	$33,962	$0	29	1
Univ. of Hawaii	1987	$142,213,678	11	12	1	$146,921	7	$255,947	$0	8	0
Case Western Reserve University	1986	$140,562,429	43	15	10	$543,397	17	$211,965	$65,422	8	1
Univ. of Maryland, College Park	1987	$140,028,697	75	41	47	$1,263,912	83	$311,694	$195,132	17	0
Michigan State University	1992	$139,881,799	90	77	16	$17,232,000	36	$736,400	$137,000	40	3
Colorado State University	1970	$137,990,437	27	7	7	$308,800	14	$87,548	$13,201	5	2
Univ. of Missouri System	1987	$132,412,000	57	29	15	$1,424,901	15	$228,544	$93,406	7	0
Oregon State University	1980	$131,334,000	31	10	5	$520,417	33	$122,135	$45,276	6	1
Purdue Research Foundation	1988	$129,909,507	122	66	57	$1,210,000	79	$81,900	$56,800	14	3
Vanderbilt University	1990	$128,500,000	58	10	16	$640,288	27	$327,563	$150,851	7	1
Univ. of Maryland at Baltimore	1989	$122,207,000	64	15	12	$275,110	8	$280,053	$41,860	8	0

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Attachment E

(Ranked by FY 1996 Total Sponsored Research Expenditures)

U.S. UNIVERSITIES: Name of Institution	Year 0.5 Prof. FTE Devoted to Tech. Transfer	FY 1996 Total Sponsored Research Expenditures	FY 1996 Invention Disclosures Received	FY 1996 Total U.S. Patent Applications Filed	FY 1996 Licenses & Options Executed	FY 1996 Gross License Income Received	FY 1996 Licenses & Options Yielding License Income	FY 1996 Legal Fees Expended	FY 1996 Legal Fees Reimbursed	FY 1996 U.S. Patents Issued	FY 1996 Start-up Companies Formed
Univ. of Delaware	1997	$50,469,862	16	6	3	$259,460	12	$107,343	$3,590	6	0
Univ. of Houston	1996	$46,446,565	25	4	2	$75,385	6	$170,594	$9,329	8	1
Idaho Research Fndtn./Univ. of Idaho	1986	$45,820,060	21	5	4	$286,070	12	$238,704	$101,370	7	1
Arizona State University	1985	$45,438,269	32	12	10	$487,637	9	$158,164	$10,887	18	3
Louisiana State University	1986	$45,334,072	30	19	7	$609,435	10	$128,971	$73,228	6	3
Univ. of Dayton	1984	$44,625,269	27	4	2	$265,636	5	$129,176	$66,452	9	0
North Dakota State University	1995	$43,661,000	18	16	6	$676,518	14	$47,662	$6,256	7	0
Univ. of South Carolina	1993	$43,098,769	29	5	1	$505,000	3	$44,202	$0	4	0
Univ. of New Hampshire	1997	$41,808,769	0	0	0	$14,129	2	$0	$0	0	0
Mississippi State University	1995	$41,065,210	17	30	1	$104,965	4	$62,564	$0	5	0
Temple University	1986	$40,793,000	34	7	8	$967,710	14	$344,998	$102,440	10	1
Montana State University	1980	$38,600,000	10	6	1	$165,485	15	$100,354	$23,219	3	0
Univ. of Rhode Island	1991	$36,807,753	15	7	2	$986,190	12	$90,376	$11,242	1	1
Lehigh University	N.A.	$34,391,410	15	13	1	$130,657	5	$66,000	$1,185	3	0
Syracuse University	1989	$34,300,000	13	14	1	$184,063	11	$89,979	$26,674	1	0
Univ. of Central Florida	1992	$33,826,351	20	10	12	$44,135	N.A.	N.A.	$22,035	15	3
Univ. of Arkansas, Fayetteville	1990	$33,071,390	15	6	2	$95,970	6	$150,732	$29,412	3	0
New Jersey Institute of Technology	1990	$32,066,000	20	11	2	$20,000	2	$134,153	$0	2	0
Univ. of Oklahoma Health Science Ctr.	1984	$29,352,243	21	9	4	$53,000	4	$149,520	$108,009	4	0
New York Medical College	1994	$27,960,320	11	2	4	$16,321	6	$21,636	$5,048	0	0
Kansas State University Research Fndtn.	1942	$27,917,281	17	16	6	$363,911	29	$178,591	$155,249	9	0
Michigan Technological University	1988	$23,882,000	15	4	5	$136,830	7	$45,477	$0	3	1
Univ. of New Orleans	N.A.	$23,611,893	6	3	1	$21,000	4	$9,900	$3,000	1	0
Creighton University	1992	$23,000,000	50	6	2	$100,467	2	$38,000	$8,000	2	1
Illinois State University	1985	$20,000,000	3	0	0	$4,000	1	$0	$0	0	0
Loyola University Medical Center	N.A.	$19,400,000	8	4	5	$130,000	5	$42,000	$0	2	0
Oklahoma Medical Research Fndtn.	1990	$18,085,646	20	14	6	$277,000	9	$516,633	$90,562	9	0
Univ. of South Alabama	1995	$17,000,000	33	12	4	$50,000	1	$100,000	$60,000	0	0
Univ. of Maryland, Baltimore County	1994	$15,532,013	18	10	5	$16,256	3	$72,265	$5,316	2	0

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Attachment E

(Ranked by FY 1996 Total Sponsored Research Expenditures)

U.S. HOSPITALS & RESEARCH INSTITUTES: Name of Institution	FY 1996 Year 0.5 Prof. FTE Devoted to Tech. Transfer	FY 1996 Total Sponsored Research Expenditures	FY 1996 Invention Disclosures Received	FY 1996 Total U.S. Patent Applications Filed	FY 1996 Licenses & Options Executed	FY 1996 Gross License Income Received	FY 1996 Licenses & Options Yielding License Income	FY 1996 Legal Fees Expended	FY 1996 Legal Fees Reimbursed	FY 1996 U.S. Patents Issued	FY 1996 Start-up Companies Formed
SRI International	1983	$275,000,000	77	33	13	$5,745,960	21	$845,000	$156,000	12	2
Massachusetts General Hospital	1976	$197,936,683	146	101	33	$1,269,581	41	$3,723,029	$2,910,029	37	0
Mayo Foundation	1986	$168,000,000	133	64	31	$10,391,159	88	$853,485	$55,264	14	0
Health Research, Inc.	1986	$165,000,000	17	13	11	$5,310,800	30	$302,895	$33,439	7	0
Brigham & Women's Hospital	1986	$139,924,000	42	42	24	$3,477,229	51	$823,187	$661,163	16	5
M.D. Anderson Cancer Center	1987	$121,229,497	54	22	29	$804,000	18	$810,000	$589,000	6	1
Fred Hutchinson Cancer Res. Ctr.	1988	$112,500,000	21	17	13	$1,026,195	68	$371,152	$71,253	4	0
Sloan Kettering Institute for Cancer Res.	1981	$80,800,000	39	31	23	$45,179,794	31	$1,184,526	N.A.	16	1
Children's Hospital, Boston	1991	$76,482,000	55	47	14	$1,268,586	22	$559,299	$268,857	12	1
Woods Hole Oceanographic Inst.	1993	$71,971,704	4	2	2	$43,550	3	$61,966	$0	2	0
Allegheny Univ. of the Health Sciences	1995	$57,521,000	26	9	7	$52,914	8	$226,417	$53,685	5	2
Fox Chase Cancer Center	1984	$50,860,860	20	12	0	$125,585	7	$131,091	$2,775	3	0
City of Hope National Medical Ctr.	1986	$50,028,232	14	16	5	$30,934,000	31	N.A.	N.A.	8	0
St. Jude Children's Research Hospital	1995	$47,425,316	32	10	14	$321,598	26	$323,535	$129,717	4	0
Cleveland Clinic Foundation	1989	$42,600,000	49	25	8	$602,000	23	$120,000	$25,000	3	0
New England Medical Center	1988	$41,782,000	15	10	4	$230,993	16	$643,523	$436,687	3	1
Salk Institute	1969	$41,696,000	16	24	18	$1,486,237	100	$1,818,247	$1,334,378	16	1
Wistar Institute	N.A.	$26,400,000	11	18	8	$3,100,000	31	$319,000	N.A.	7	0
National Jewish Med. and Res. Ctr.	1994	$24,045,565	11	25	1	$227,739	13	$182,926	$0	5	0
New York Blood Center	1975	$22,000,000	10	25	13	$23,000,000	40	$600,000	$150,000	5	0
Burnham Institute	1995	$19,311,000	42	23	3	$125,000	4	$875,000	$828,000	8	0
Schepens Eye Research Institute	1997	$12,125,656	3	0	0	$16,000	2	$114,499	$27,288	1	0
Albert Einstein Healthcare Network	1993	$8,900,000	5	5	2	$3,000	1	$5,000	$3,000	0	1
California Pacific Medical Ctr. Res. Inst.	N.A.	$8,833,617	2	4	0	$0	0	$41,000	$0	0	0
Baylor Research Institute	N.A.	$5,200,000	2	0	0	$100,000	1	$28,000	$0	0	0
Children's Hospital of Philadelphia	N.A.	N.A.	14	N.A.	3	$196,000	N.A.	N.A.	N.A.	5	N.A.
TOTAL U.S. HOSPITALS & RESEARCH INSTITUTES		**$1,867,573,130**	**860**	**578**	**279**	**$135,037,920**	**676**	**$14,962,777**	**$7,735,535**	**199**	**15**

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Attachment E

(Ranked by FY 1996 Total Sponsored Research Expenditures)

PATENT MANAGEMENT FIRMS: Name of Institution	FY 1996 Year 0.5 Prof. FTE Devoted to Tech. Transfer	FY 1996 Total Sponsored Research Expenditures	FY 1996 Invention Disclosures Received	FY 1996 Total U.S. Patent Applications Filed	FY 1996 Licenses & Options Executed	FY 1996 Gross License Income Received	FY 1996 Licenses & Options Yielding License Income	FY 1996 Legal Fees Expended	FY 1996 Legal Fees Reimbursed	FY 1996 U.S. Patents Issued	FY 1996 Start-up Companies Formed
Competitive Technologies, Inc. (CTI)	N.A.	N.A.	115	37	16	$9,300,000	53	$237,000	$0	7	2
Research Corporation Technologies	1987	N.A.	575	21	31	$70,343,112	164	N.A.	N.A.	20	1
TOTAL PATENT MNGMNT. FIRMS		**N.A.**	**690**	**58**	**47**	**$79,643,112**	**217**	**$237,000**	**$0**	**27**	**3**

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Attachment F

U.S. UNIVERSITIES:	FY 1996 Aggregate Totals (N=131)	FY 1995 Aggregate Totals (N=127)	FY 1994 Aggregate Totals (N=120)	FY 1993 Aggregate Totals (N=117)	FY 1992 Aggregate Totals (N=98)
Research Expenditures: Industrial Sources	$1,530,203,487	$1,362,478,058	$1,362,913,750	$1,223,033,233	$1,005,061,043
Research Expenditures: Federal Govt. Sources	$12,317,829,551	$11,380,770,352	$10,705,391,435	$10,104,906,668	$9,111,906,382
Total Sponsored Research Expenditures	$18,688,253,796	$17,211,913,185	$16,058,644,323	$14,875,677,330	$12,799,045,236
Licenses/Options Executed	2,209	2,142	2,049	1,737	1,461
Gross License Income Received	$365,218,642	$299,148,128	$265,932,578	$242,269,815	$172,359,459
License Income Paid to Other Institutions	$28,591,054	$25,621,678	$20,774,204	$19,522,671	N.A.
Licenses/Options Yielding License Income	4,958	4,272	3,560	3,413	2,809
Legal Fees Expended	$75,096,654	$60,233,235	$53,345,200	$50,250,423	$33,533,436
Legal Fees Reimbursed	$28,567,190	$25,870,778	$25,600,573	$22,450,374	$11,331,212
Invention Disclosures Received	8,119	7,427	6,697	6,598	5,700
Total U.S. Patent Applications Filed	3,872	5,100	3,477	3,099	2,339
New U.S. Patent Applications Filed	2,734	2,373	2,015	1,993	1,608
U.S. Patents Issued	1,776	1,550	1,596	1,307	N.A.

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U.S. HOSPITALS & RESEARCH INSTITUTES:	FY 1996 Aggregate Totals (N=26)	FY 1995 Aggregate Totals (N=27)	FY 1994 Aggregate Totals (N=24)	FY 1993 Aggregate Totals (N=26)	FY 1992 Aggregate Totals (N=20)
Research Expenditures: Industrial Sources	$277,218,702	$246,060,722	$233,764,356	$269,026,381	$112,600,236
Research Expenditures: Federal Govt. Sources	$1,202,526,899	$1,012,833,188	$908,117,563	$912,999,693	$584,130,363
Total Sponsored Research Expenditures	$1,867,573,130	$1,749,635,279	$1,465,486,884	$1,507,164,756	$902,266,306
Licenses/Options Executed	279	247	211	252	192
Gross License Income Received	$135,037,920	$116,740,155	$84,560,310	$73,969,108	$60,223,269
License Income Paid to Other Institutions	$780,240	$510,820	$620,224	$438,956	N.A.
Licenses/Options Yielding License Income	676	586	491	409	315
Legal Fees Expended	$14,962,777	$15,332,539	$12,962,180	$11,307,985	$8,325,439
Legal Fees Reimbursed	$7,735,535	$7,067,253	$6,555,736	$4,865,384	$4,008,997
Invention Disclosures Received	860	974	749	772	577
Total U.S. Patent Applications Filed	578	952	575	539	438
New U.S. Patent Applications Filed	341	301	287	297	245
U.S. Patents Issued	199	146	168	173	N.A.

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CANADIAN INSTITUTIONS:	FY 1996 Aggregate Totals (U.S. $) (N=14)	FY 1995 Aggregate Totals (U.S. $) (N=16)	FY 1994 Aggregate Totals (U.S. $) (N=12)	FY 1993 Aggregate Totals (U.S. $) (N=12)	FY 1992 Aggregate Totals (U.S. $) (N=10)
Research Expenditures: Industrial Sources	$135,399,113	$129,459,787	$64,273,110	$55,746,806	$46,953,659
Research Expenditures: Federal Govt. Sources	$394,947,293	$440,374,340	$310,482,872	$300,586,085	$262,775,142
Total Sponsored Research Expenditures	$855,217,872	$943,247,718	$684,158,438	$687,047,338	$472,420,978
Licenses/Options Executed	206	172	141	177	54
Gross License Income Received	$11,824,439	$10,540,012	$5,770,558	$5,299,502	$4,153,048
License Income Paid to Other Institutions	$294,872	$942,187	$243,174	$35,398	N.A.
Licenses/Options Yielding License Income	312	300	242	182	111
Legal Fees Expended	$2,400,423	$2,859,472	$2,327,310	$1,933,584	$698,829
Legal Fees Reimbursed	$1,102,289	$1,300,294	$903,228	$649,969	$235,950
Invention Disclosures Received	509	578	445	393	284
Total U.S. Patent Applications Filed	225	290	157	92	94
New U.S. Patent Applications Filed	137	157	98	65	80
U.S. Patents Issued	93	87	52	73	N.A.

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PATENT MANAGEMENT FIRMS:	FY 1996 Aggregate Totals (N=2)	FY 1995 Aggregate Totals (N=3)	FY 1994 Aggregate Totals (N=3)	FY 1993 Aggregate Totals (N=3)	FY 1992 Aggregate Totals (N=2)
Research Expenditures: Industrial Sources	N.A.	N.A.	$5,428,773	$14,057,779	$1,785,000
Research Expenditures: Federal Govt. Sources	N.A.	N.A.	$0	$20,000,000	N.A.
Total Sponsored Research Expenditures	N.A.	N.A.	$5,428,773	$34,057,779	$1,785,000
Licenses/Options Executed	47	55	83	61	34
Gross License Income Received	$79,643,112	$68,273,928	$66,104,159	$58,673,994	$50,648,801
License Income Paid to Other Institutions	$48,008,217	$43,739,196	$39,938,894	$37,369,565	N.A.
Licenses/Options Yielding License Income	217	238	241	194	142
Legal Fees Expended	$237,000	$495,851	$584,306	$2,722,169	$3,071,586
Legal Fees Reimbursed	$0	$179,030	$177,896	$417,585	$156,671
Invention Disclosures Received	690	810	852	818	784
Total U.S. Patent Applications Filed	58	131	111	105	97
New U.S. Patent Applications Filed	49	41	29	78	18
U.S. Patents Issued	27	50	58	50	N.A.

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ALL RESPONDENTS:	FY 1996 Aggregate Totals (N=173)	FY 1995 Aggregate Totals (N=173)	FY 1994 Aggregate Totals (N=159)	FY 1993 Aggregate Totals (N=158)	FY 1992 Aggregate Totals (N=130)
Research Expenditures: Industrial Sources	$1,942,821,302	$1,737,998,567	$1,666,379,989	$1,561,864,199	$1,166,399,938
Research Expenditures: Federal Govt. Sources	$13,915,303,743	$12,833,977,880	$11,923,991,870	$11,338,492,446	$9,958,811,887
Total Sponsored Research Expenditures	$21,411,044,798	$19,904,796,182	$18,213,718,418	$17,103,947,203	$14,175,517,520
Licenses/Options Executed	2,741	2,616	2,484	2,227	1,741
Gross License Income Received	$591,724,113	$494,702,223	$422,367,605	$380,212,419	$287,384,577
License Income Paid to Other Institutions	$77,674,383	$70,813,881	$61,576,496	$57,366,590	N.A.
Licenses/Options Yielding License Income	6,163	5,396	4,534	4,198	3,377
Legal Fees Expended	$92,696,854	$78,921,097	$69,218,996	$66,214,161	$45,629,290
Legal Fees Reimbursed	$37,405,014	$34,417,355	$33,237,433	$28,383,312	$15,732,830
Invention Disclosures Received	10,178	9,789	8,743	8,581	7,345
Total U.S. Patent Applications Filed	4,733	6,473	4,320	3,835	2,968
New U.S. Patent Applications Filed	3,261	2,872	2,429	2,433	1,951
U.S. Patents Issued	2,095	1,833	1,874	1,603	N.A.

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Attachment G

U.S. UNIVERSITIES: (Six-Year Recurrent Respondents)	FY 1996 Six-Year Recurrent Respondent Totals	FY 1995 Six-Year Recurrent Respondent Totals	FY 1994 Six-Year Recurrent Respondent Totals	FY 1993 Six-Year Recurrent Respondent Totals	FY 1992 Six-Year Recurrent Respondent Totals
Research Expenditures: Industrial Sources	$1,052,715,974	$913,644,931	$935,950,597	$819,082,292	$805,339,761
Research Expenditures: Federal Govt. Sources	$9,302,549,690	$8,767,424,553	$8,326,763,795	$7,870,875,620	$7,717,828,444
Total Sponsored Research Expenditures	$13,534,156,386	$12,650,055,744	$12,205,154,031	$11,216,798,866	$10,688,088,194
Licenses/Options Executed	1,632	1,506	1,448	1,221	1,208
Gross License Income Received	$328,741,253	$272,637,217	$238,259,783	$215,758,954	$161,867,328
Licenses/Options Yielding License Income	3,887	3,373	2,888	2,753	2,347
Legal Fees Expended	$58,629,666	$44,233,131	$37,267,108	$33,827,326	$29,223,840
Legal Fees Reimbursed	$22,104,222	$18,945,793	$16,206,712	$13,734,810	$9,995,411
Invention Disclosures Received	6,101	5,576	5,090	5,128	4,910
Total U.S. Patent Applications Filed	2,799	3,807	2,665	2,209	1,871
New U.S. Patent Applications Filed	2,013	1,780	1,604	1,454	1,287
U.S. Patents Issued	1,519	1,351	1,408	1,194	N.A.

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U.S. HOSPITALS & RESEARCH INSTITUTES: (Six-Year Recurrent Respondents)	FY 1996 Six-Year Recurrent Respondent Totals	FY 1995 Six-Year Recurrent Respondent Totals	FY 1994 Six-Year Recurrent Respondent Totals	FY 1993 Six-Year Recurrent Respondent Totals	FY 1992 Six-Year Recurrent Respondent Totals
Research Expenditures: Industrial Sources	$130,972,708	$117,077,641	$105,717,321	$107,611,635	$94,011,793
Research Expenditures: Federal Govt. Sources	$663,687,692	$637,465,853	$593,620,555	$553,108,299	$490,486,885
Total Sponsored Research Expenditures	$1,052,591,500	$1,059,867,546	$943,456,066	$894,902,574	$756,243,387
Licenses/Options Executed	180	174	159	154	173
Gross License Income Received	$96,052,661	$80,085,620	$68,319,704	$59,261,013	$42,613,021
Licenses/Options Yielding License Income	490	419	376	321	277
Legal Fees Expended	$9,401,349	$8,161,767	$8,144,987	$7,259,604	$6,719,670
Legal Fees Reimbursed	$5,796,095	$5,018,438	$5,275,669	$4,264,644	$3,607,933
Invention Disclosures Received	544	504	481	524	488
Total U.S. Patent Applications Filed	393	620	410	372	347
New U.S. Patent Applications Filed	226	190	187	185	186
U.S. Patents Issued	174	126	142	147	N.A.

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CANADIAN INSTITUTIONS (U.S. $): (Six-Year Recurrent Respondents)	FY 1996 Six-Year Recurrent Respondent Totals	FY 1995 Six-Year Recurrent Respondent Totals	FY 1994 Six-Year Recurrent Respondent Totals	FY 1993 Six-Year Recurrent Respondent Totals	FY 1992 Six-Year Recurrent Respondent Totals
Research Expenditures: Industrial Sources	$76,076,766	$66,295,113	$41,973,175	$36,408,076	$38,323,200
Research Expenditures: Federal Govt. Sources	$224,200,693	$234,835,645	$196,583,226	$209,844,947	$218,533,600
Total Sponsored Research Expenditures	$499,411,335	$483,030,202	$509,326,662	$533,720,930	$384,512,800
Licenses/Options Executed	93	69	76	85	43
Gross License Income Received	$8,393,300	$5,626,827	$4,141,065	$3,984,475	$4,083,146
Licenses/Options Yielding License Income	179	155	151	136	106
Legal Fees Expended	$1,242,412	$1,485,183	$1,100,151	$1,092,122	$518,772
Legal Fees Reimbursed	$737,843	$776,104	$503,790	$506,886	$197,630
Invention Disclosures Received	343	317	336	270	264
Total U.S. Patent Applications Filed	145	141	114	70	86
New U.S. Patent Applications Filed	70	84	69	40	65
U.S. Patents Issued	75	62	49	69	N.A.

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Suggested Citation

The Association of University Technology Managers, Inc., report entitled, *AUTM Licensing Survey, FY 1996: A Survey Summary of Technology Licensing (and Related) Performance for U.S. and Canadian Academic and Nonprofit Institutions, and Patent Management Firms*. The report may also be referenced by its abbreviated title, *AUTM Licensing Survey, FY 1996 Survey Summary*.

Availability of Publication

For information on the price and availability of the *FY 1996 Survey Summary* report or the *Full Report*, contact Ms. Penny Dalziel, 49 East Avenue, Norwalk, CT 06851, Phone: (203) 845-9015, Fax: (203) 847-1304, autm@ix.netcom.com.

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ALL RESPONDENTS (continued): (Six-Year Recurrent Respondents, Excluding Patent Management Firms)	FY 1991 Six-Year Recurrent Respondent Totals
Research Expenditures: Industrial Sources	$834,235,037
Research Expenditures: Federal Govt. Sources	$7,807,313,523
Total Sponsored Research Expenditures	$11,026,993,045
Licenses/Options Executed	1,088
Gross License Income Received	$158,316,006
Licenses/Options Yielding License Income	2,286
Legal Fees Expended	$30,405,968
Legal Fees Reimbursed	$9,965,799
Invention Disclosures Received	4,991
Total U.S. Patent Applications Filed	2,106
New U.S. Patent Applications Filed	1,389
U.S. Patents Issued	N.A.

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CANADIAN INSTITUTIONS (U.S. $) (continued): (Six-Year Recurrent Respondents)	FY 1991 Six-Year Recurrent Respondent Totals
Research Expenditures: Industrial Sources	$38,838,332
Research Expenditures: Federal Govt. Sources	$223,744,999
Total Sponsored Research Expenditures	$394,540,834
Licenses/Options Executed	39
Gross License Income Received	$3,282,979
Licenses/Options Yielding License Income	105
Legal Fees Expended	$442,451
Legal Fees Reimbursed	$274,617
Invention Disclosures Received	228
Total U.S. Patent Applications Filed	66
New U.S. Patent Applications Filed	46
U.S. Patents Issued	N.A.

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U.S. HOSPITALS & RESEARCH INSTITUTES (continued): (Six-Year Recurrent Respondents)	FY 1991 Six-Year Recurrent Respondent Totals
Research Expenditures: Industrial Sources	$80,898,038
Research Expenditures: Federal Govt. Sources	$444,944,080
Total Sponsored Research Expenditures	$683,466,804
Licenses/Options Executed	105
Gross License Income Received	$29,854,210
Licenses/Options Yielding License Income	233
Legal Fees Expended	$5,276,859
Legal Fees Reimbursed	$2,642,612
Invention Disclosures Received	406
Total U.S. Patent Applications Filed	356
New U.S. Patent Applications Filed	182
U.S. Patents Issued	N.A.

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U.S. UNIVERSITIES (continued): (Six-Year Recurrent Respondents)	FY 1991 Six-Year Recurrent Respondent Totals
Research Expenditures: Industrial Sources	$714,498,667
Research Expenditures: Federal Govt. Sources	$7,138,624,444
Total Sponsored Research Expenditures	$9,948,985,407
Licenses/Options Executed	944
Gross License Income Received	$125,178,817
Licenses/Options Yielding License Income	1,948
Legal Fees Expended	$24,686,658
Legal Fees Reimbursed	$7,048,570
Invention Disclosures Received	4,357
Total U.S. Patent Applications Filed	1,684
New U.S. Patent Applications Filed	1,161
U.S. Patents Issued	N.A.

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ALL RESPONDENTS (continued):	FY 1991 Aggregate Totals (N=130)
Research Expenditures: Industrial Sources	$1,022,219,553
Research Expenditures: Federal Govt. Sources	$8,908,379,157
Total Sponsored Research Expenditures	$12,767,181,588
Licenses/Options Executed	1,278
Gross License Income Received	$221,607,337
License Income Paid to Other Institutions	N.A.
Licenses/Options Generating License Income	2,711
Legal Fees Expended	$37,250,399
Legal Fees Reimbursed	$10,845,638
Invention Disclosures Received	6,337
Total U.S. Patent Applications Filed	2,469
New U.S. Patent Applications Filed	1,643
U.S. Patents Issued	N.A.

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PATENT MANAGEMENT FIRMS (continued):	FY 1991 Aggregate Totals (N=2)
Research Expenditures: Industrial Sources	$1,600,000
Research Expenditures: Federal Govt. Sources	N.A.
Total Sponsored Research Expenditures	$1,600,000
Licenses/Options Executed	31
Gross License Income Received	$43,055,673
License Income Paid to Other Institutions	N.A.
Licenses/Options Generating License Income	124
Legal Fees Expended	$3,250,640
Legal Fees Reimbursed	$25,995
Invention Disclosures Received	735
Total U.S. Patent Applications Filed	54
New U.S. Patent Applications Filed	29
U.S. Patents Issued	N.A.

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CANADIAN INSTITUTIONS (continued):	FY 1991 Aggregate Totals (U.S. $) (N=10)
Research Expenditures: Industrial Sources	$46,045,723
Research Expenditures: Federal Govt. Sources	$267,509,935
Total Sponsored Research Expenditures	$484,021,929
Licenses/Options Executed	49
Gross License Income Received	$3,314,127
License Income Paid to Other Institutions	N.A.
Licenses/Options Generating License Income	109
Legal Fees Expended	$524,337
Legal Fees Reimbursed	$286,521
Invention Disclosures Received	250
Total U.S. Patent Applications Filed	73
New U.S. Patent Applications Filed	59
U.S. Patents Issued	N.A.

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U.S. HOSPITALS & RESEARCH INSTITUTES (continued):	FY 1991 Aggregate Totals (N=20)
Research Expenditures: Industrial Sources	$95,320,190
Research Expenditures: Federal Govt. Sources	$520,892,149
Total Sponsored Research Expenditures	$802,177,881
Licenses/Options Executed	119
Gross License Income Received	$45,255,639
License Income Paid to Other Institutions	N.A.
Licenses/Options Generating License Income	268
Legal Fees Expended	$6,428,582
Legal Fees Reimbursed	$2,749,296
Invention Disclosures Received	472
Total U.S. Patent Applications Filed	416
New U.S. Patent Applications Filed	220
U.S. Patents Issued	N.A.

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U.S. UNIVERSITIES (continued):	FY 1991 Aggregate Totals (N=98)
Research Expenditures: Industrial Sources	$879,253,640
Research Expenditures: Federal Govt. Sources	$8,119,977,073
Total Sponsored Research Expenditures	$11,479,381,778
Licenses/Options Executed	1,079
Gross License Income Received	$129,981,898
License Income Paid to Other Institutions	N.A.
Licenses/Options Generating License Income	2,210
Legal Fees Expended	$27,046,840
Legal Fees Reimbursed	$7,783,826
Invention Disclosures Received	4,880
Total U.S. Patent Applications Filed	1,926
New U.S. Patent Applications Filed	1,335
U.S. Patents Issued	N.A.

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ALL RESPONDENTS:	FY 1996 Total Sponsored Research Expenditures	FY 1996 Invention Disclosures Received	FY 1996 Total U.S. Patent Applications Filed	FY 1996 Licenses & Options Executed	FY 1996 Gross License Income Received	FY 1996 Licenses & Options Yielding License Income	FY 1996 Legal Fees Expended	FY 1996 Legal Fees Reimbursed	FY 1996 U.S. Patents Issued	FY 1996 Start-up Companies Formed
U.S. UNIVERSITIES	$18,688,253,796	8,119	3,872	2,209	$365,218,642	4,958	$75,096,654	$28,567,190	1,776	184
U.S. HOSPITALS & RESEARCH INSTITUTES	$1,867,573,130	860	578	279	$135,037,920	676	$14,962,777	$7,735,535	199	15
CANADIAN INSTITUTIONS (U.S. $)	$855,217,872	509	225	206	$11,824,439	312	$2,400,423	$1,102,289	93	46
PATENT MANAGEMENT FIRMS	N.A.	690	58	47	$79,643,112	217	$237,000	$0	27	3
TOTAL ALL RESPONDENTS	**$21,411,044,798**	**10,178**	**4,733**	**2,741**	**$591,724,113**	**6,163**	**$92,696,854**	**$37,405,014**	**2,095**	**248**

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(Ranked by FY 1996 Total Sponsored Research Expenditures)

CANADIAN INSTITUTIONS: Name of Institution	FY 1996 Year 0.5 Prof. FTE Devoted to Tech. Transfer	FY 1996 Total Sponsored Research Expenditures (U.S. $)	FY 1996 Invention Disclosures Received	FY 1996 Total U.S. Patent Applications Filed	FY 1996 Licenses & Options Executed	FY 1996 Gross License Income Received (U.S. $)	FY 1996 Licenses & Options Yielding License Income	FY 1996 Legal Fees Expended (U.S. $)	FY 1996 Legal Fees Reimbursed (U.S. $)	FY 1996 U.S. Patents Issued	FY 1996 Start-up Companies Formed
Univ. of Toronto	1980	$205,121,003	105	41	16	$2,458,607	37	$338,299	$224,224	5	6
Univ. de Montreal	1990	$125,403,344	39	17	17	$367,961	12	$78,905	$58,608	7	6
Univ. of British Columbia	1984	$98,311,347	108	23	15	$545,738	48	$547,741	$309,383	26	7
Univ. of Alberta	1987	$87,891,104	82	46	26	$3,080,082	24	$309,177	$109,619	13	11
UTI, Inc./Univ. of Calgary	1985	$58,148,585	55	14	49	$2,038,849	75	$317,083	$146,502	5	2
Univ. of Western Ontario	1995	$47,667,938	12	6	3	$7,859	4	$11,000	$0	4	0
Queen's University	1984	$46,449,839	26	24	11	$958,538	32	$124,053	$59,790	8	5
Univ. of Guelph	1983	$45,709,468	13	17	5	$366,676	9	$160,418	$36,668	11	1
Univ. of Waterloo	1990	$41,434,438	N.A.	8	14	$1,276,034	30	$242,952	$34,167	8	0
Univ. of Manitoba	1983	$36,832,557	18	19	20	$485,838	25	$190,472	$115,334	3	0
Carleton University	1986	$18,985,505	10	3	8	$66,442	4	$18,489	$660	0	0
Simon Fraser University	1985	$17,250,717	35	7	18	$145,895	10	$45,700	$0	3	7
Ottawa Civic Hospital Loeb Res. Inst.	1995	$13,933,705	5	N.A.	2	N.A.	N.A.	$14,667	$7,334	0	1
Concordia University	1997	$12,078,322	1	0	2	$25,920	2	$1,467	$0	0	0
TOTAL CANADIAN INSTITUTIONS		**$855,217,872**	**509**	**225**	**206**	**$11,824,439**	**312**	**$2,400,423**	**$1,102,289**	**93**	**46**

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(Ranked by FY 1996 Total Sponsored Research Expenditures)

U.S. UNIVERSITIES: Name of Institution	Year 0.5 Prof. FTE Devoted to Tech. Transfer	FY 1996 Total Sponsored Research Expenditures	FY 1996 Invention Disclosures Received	FY 1996 Total U.S. Patent Applications Filed	FY 1996 Licenses & Options Executed	FY 1996 Gross License Income Received	FY 1996 Licenses & Options Yielding License Income	FY 1996 Legal Fees Expended	FY 1996 Legal Fees Reimbursed	FY 1996 U.S. Patents Issued	FY 1996 Start-up Companies Formed
Brigham Young University	1986	$15,418,913	31	8	25	$2,652,877	48	$100,413	$13,588	2	2
Hunter College of CUNY	N.A.	$15,023,000	0	0	0	$0	0	$0	$0	0	0
Stevens Institute of Technology	1996	$13,700,000	6	3	1	$20,000	1	$79,000	$5,000	2	0
Ohio University	1991	$13,513,704	22	4	1	$874,262	1	$143,822	$0	5	0
Medical College of Ohio	1983	$12,792,343	4	5	2	$191,162	5	$73,478	$27,257	4	0
Wright State University	N.A.	$12,598,193	2	2	1	$24,897	3	$7,568	$0	0	0
Kent State University	1989	$12,300,000	20	9	1	$113,300	2	$131,000	$0	6	0
Univ. of Denver	N.A.	$12,264,850	1	4	0	$100,000	1	$25,869	$0	3	0
Univ. of Akron	1995	$8,982,271	16	8	5	$359,700	11	N.A.	N.A.	14	0
Univ. of Tulsa	N.A.	$8,739,201	0	0	0	$0	0	$0	$0	0	0
Northern Illinois University	1991	$8,154,000	5	5	2	$35,000	4	$20,000	$0	2	0
Ball State University	1990	$7,909,454	1	3	2	$101,660	31	N.A.	N.A.	1	0
East Carolina University	1995	$6,184,000	17	2	3	$1,516	1	$74,343	$9,014	1	1
Univ. of North Carolina/Charlotte	1993	$5,544,924	28	4	N.A.	$7,844	2	$44,298	$0	4	N.A.
Marquette University	1996	$5,417,090	5	2	1	$1,000	1	$0	$0	0	0
TOTAL U.S. UNIVERSITIES		**$18,688,253,796**	**8,119**	**3,872**	**2,209**	**$365,218,642**	**4,958**	**$75,096,654**	**$28,567,190**	**1,776**	**184**

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(Ranked by FY 1996 Total Sponsored Research Expenditures)

U.S. UNIVERSITIES: Name of Institution	Year 0.5 Prof. FTE Devoted to Tech. Transfer	FY 1996 Total Sponsored Research Expenditures	FY 1996 Invention Disclosures Received	FY 1996 Total U.S. Patent Applications Filed	FY 1996 Licenses & Options Executed	FY 1996 Gross License Income Received	FY 1996 Licenses & Options Yielding License Income	FY 1996 Legal Fees Expended	FY 1996 Legal Fees Reimbursed	FY 1996 U.S. Patents Issued	FY 1996 Start-up Companies Formed
Univ. of Connecticut	1987	$113,000,000	45	10	6	$437,874	9	$304,558	$41,000	11	1
Wayne State University	1988	$112,151,000	34	7	5	$250,000	11	$154,000	$121,583	8	1
Univ. of Kansas	1994	$106,399,997	38	11	12	$285,167	15	$103,668	$48,110	2	4
Univ. of South Florida	1990	$103,000,000	31	29	4	$133,334	9	$427,395	$76,391	4	2
Florida State University	1996	$102,659,000	7	8	3	$6,500,044	6	$191,719	$49,632	8	0
Univ. of Nebraska-Lincoln	N.A.	$102,460,000	17	26	7	$639,166	15	$148,119	$33,202	15	1
Oklahoma State University	1995	$97,225,290	16	3	5	$119,251	5	$8,626	$0	2	0
Georgetown University	1990	$96,000,000	55	26	8	$296,000	16	$400,000	$212,000	9	0
Princeton University	1987	$92,316,075	91	29	21	$607,000	18	$398,000	$218,000	16	3
Washington State University	1971	$88,014,342	42	26	15	$149,240	48	$192,054	$164,537	6	0
Auburn University	1988	$87,358,000	15	8	6	$188,585	9	$125,151	$33,708	1	0
Univ. of New Mexico	1995	$87,353,920	33	23	2	$283,333	4	$202,607	$40,806	7	0
Univ. of Texas Houston Hlth. Sci. Ctr.	1985	$85,039,047	25	6	2	$707,000	10	$190,746	$71,089	6	0
Clemson University	1987	$84,800,000	24	2	2	$4,125,439	9	$60,456	$13,766	6	0
Tulane University	1985	$83,660,141	22	15	5	$5,323,873	14	$195,500	$153,448	8	1
Tufts University	1978	$78,968,650	32	16	6	$250,923	15	$229,883	$32,416	9	1
Oregon Health Sciences University	1989	$78,598,000	25	18	11	$395,987	26	$198,509	$39,177	6	0
Thomas Jefferson University	1984	$75,200,000	81	64	12	$341,061	21	$595,330	$71,417	20	4
Univ. of Kentucky Research Fndtn.	1984	$73,615,446	59	24	2	$1,885,765	6	$601,121	$0	14	0
New Mexico State University	1990	$70,024,803	9	10	1	$13,418	3	$64,917	$2,556	1	0
Dartmouth College	1985	$68,196,098	16	10	10	$603,612	43	$183,543	$61,536	6	3
Brown University Research Fndtn.	1983	$67,621,000	35	15	6	$1,092,495	15	$113,103	$5,955	5	2
Univ. of Texas Hlth. Sci. Ctr. San Antonio	1990	$65,762,769	15	13	5	$1,915,900	17	$401,786	$19,345	8	0
Univ. of Texas Medical Branch	1988	$65,389,518	25	15	7	$225,000	10	$249,104	$7,091	10	0
Univ. of Cincinnati	1983	$64,374,226	38	23	7	$2,207,682	11	$191,911	$13,112	8	0
San Diego State University	N.A.	$63,628,257	5	0	0	$0	0	$27,453	$0	0	0
Univ. of Nebraska Medical Center	1992	$60,201,000	20	12	4	$84,233	5	$251,926	$34,000	13	0
Wake Forest University	1985	$55,714,104	23	7	4	$93,546	10	$238,854	$134,460	5	1
Univ. of Oregon	1992	$51,300,000	9	11	9	$135,713	13	$62,000	$40,000	16	0

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Attachment E

(Ranked by FY 1996 Total Sponsored Research Expenditures)

U.S. UNIVERSITIES: Name of Institution	Year 0.5 Prof. FTE Devoted to Tech. Transfer	FY 1996 Total Sponsored Research Expenditures	FY 1996 Invention Disclosures Received	FY 1996 Total U.S. Patent Applications Filed	FY 1996 Licenses & Options Executed	FY 1996 Gross License Income Received	FY 1996 Licenses & Options Yielding License Income	FY 1996 Legal Fees Expended	FY 1996 Legal Fees Reimbursed	FY 1996 U.S. Patents Issued	FY 1996 Start-up Companies Formed
Univ. of California System	1950	$1,517,738,000	670	325	137	$63,200,000	513	$17,968,000	$7,090,000	159	11
Johns Hopkins University	1973	$889,289,000	194	132	46	$3,090,833	100	$1,939,457	$1,033,561	24	2
Massachusetts Inst. of Technology (MIT)	1940	$713,000,000	338	158	77	$10,082,654	257	$4,218,000	$1,900,000	113	6
Univ. of Michigan	1982	$441,300,000	112	65	44	$1,074,747	82	$1,221,330	$705,504	23	8
Univ. of Washington/Wash. Res. Fndtn.	1983	$418,000,000	233	85	44	$8,651,000	101	$762,000	$393,000	20	3
W.A.R.F./Univ. of Wisconsin-Madison	1925	$412,570,000	208	75	61	$13,091,708	117	$1,801,015	$16,072	47	4
Stanford University	1970	$395,464,378	160	130	136	$43,752,059	259	$2,306,000	$855,000	56	14
SUNY Research Foundation	1979	$373,440,197	173	58	54	$1,186,091	89	$1,286,586	$362,539	45	7
Texas A&M University System	1992	$366,983,000	125	35	30	$2,756,464	99	$402,984	$286,289	19	2
Penn State University	1989	$348,443,000	174	102	32	$946,044	58	$308,610	$176,967	27	3
Harvard University	1977	$347,000,000	112	85	57	$7,641,826	144	$2,191,951	$1,577,031	28	3
Univ. of Pennsylvania	1986	$328,000,000	136	54	22	$782,000	29	$1,979,000	$798,000	46	4
Cornell Research Fndtn., Inc.	1979	$321,488,000	160	92	64	$2,167,004	133	$1,775,636	$609,185	46	3
Univ. of Colorado	1993	$292,547,000	100	60	28	$2,274,887	51	$412,976	$75,000	24	0
Yale University	1982	$269,241,000	89	48	28	$5,007,486	85	$862,020	$358,244	13	3
Univ. of Arizona	1988	$268,880,467	98	19	13	$253,302	27	$86,918	$32,671	8	3
Univ. of Illinois, Urbana, Champaign	N.A.	$267,008,000	73	30	N.A.	$3,087,006	112	$183,663	$18,696	17	N.A.
Univ. of North Carolina/Chapel Hill	1985	$262,936,038	91	47	37	$1,388,893	50	$577,934	$440,159	21	0
Washington University	1985	$250,000,000	22	44	53	$9,413,429	117	$978,793	$452,018	20	1
Univ. of Minnesota	1957	$242,789,883	159	71	77	$6,334,717	71	$1,517,097	$748,014	29	2
Univ. of Texas at Austin	1988	$241,606,000	61	30	22	$1,261,252	21	$304,192	$291,267	26	1
Univ. of Pittsburgh	1992	$236,987,295	46	30	6	$1,114,381	32	$1,046,647	$642,866	10	2
Columbia University	1982	$231,600,000	141	94	61	$40,631,982	159	$2,908,259	$342,929	20	1
Univ. of Southern California	1971	$223,751,387	73	31	32	$442,508	25	$486,996	$361,642	9	3
California Institute of Technology	1978	$218,000,000	300	120	30	$3,900,000	35	$1,000,000	$284,000	31	10
Univ. of Georgia	1979	$209,357,000	34	19	21	$1,065,877	31	$796,322	$382,042	7	6
Ohio State University	1990	$207,733,549	63	49	12	$1,096,700	25	$409,843	$140,849	21	0
Univ. of Florida	1983	$204,872,257	90	61	18	$11,045,299	69	$1,764,523	$724,646	34	0
Univ. of Iowa Research Fndtn.	1975	$195,000,000	74	24	15	$681,000	36	$365,780	$154,463	16	1

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Attachment C

LIST OF TABLES
*(FULL REPORT)**

Table 1	Professional and Support Staff FTEs for Technology Transfer for Fiscal Year (FY) 1996
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PROFESSIONAL FTE: PROFESSIONAL FTEs include persons employed in the TECHNOLOGY TRANSFER OFFICE and, in rare instances, those whose duties are *specifically assigned* to providing professional support for TECHNOLOGY TRANSFER ACTIVITIES, i.e., an industrial liaison, intellectual property counsel, but not other persons employed in an office of sponsored programs. (See Question 4.)

RESEARCH EXPENDITURES: FEDERAL GOVT. SOURCES: RESEARCH EXPENDITURES: FEDERAL GOVT. SOURCES include expenditures made in FY 1996 by the institution in support of its research activities that are funded by the federal government. (See Question 5.)

RESEARCH EXPENDITURES: INDUSTRIAL SOURCES: RESEARCH EXPENDITURES: INDUSTRIAL SOURCES include expenditures made in FY 1996 by the institution in support of its research activities that are funded by *corporations*, but not expenditures supported by other sources such as foundations and other nonprofit organizations. (See Question 5.)

RESEARCH FUNDING: RESEARCH FUNDING includes the total amount of research support committed to your institution (even if the funds are to be spent over several years) that was related to LICENSE or OPTION AGREEMENTS executed in the survey period. (See Question 7.)

RUNNING ROYALTIES: For the purposes of this survey, RUNNING ROYALTIES are defined as royalties earned on the sales of products. Excluded from this number are license issue fees, payments under options, termination payments, and the amount of annual minimums not supported by sales. Also excluded from this amount is CASHED-IN EQUITY, which should be reported separately. (See Question 8.c.)

SMALL COMPANY: A company that had 500 or fewer employees at the time the license/option was signed, but, for the purposes of this survey, not including START-UP COMPANIES initiated by your institution. (See Question 6.b.)

START-UP COMPANIES: As used in this survey, START-UP COMPANIES are companies that were dependent upon licensing the institution's technology for initiation (see Question 12). If a technology was licensed to an existing START-UP COMPANY, but not to a START-UP that was dependent upon your technology for initiation, this company should be counted as a SMALL COMPANY when responding to Question 6.b, as opposed to a START-UP COMPANY. START-UP COMPANIES, as used in this survey, will continue to refer only to those companies that were dependent upon your institution's technology for initiation. (See Questions 6.b, and 12.a-12.g.)

START-UP COMPANY INFORMATION SHEET: An attachment to the cover letter to this survey that shows previously reported data for START-UP COMPANIES for the institutions that provided data for START-UP COMPANIES as part of the AUTM Licensing Survey in earlier years; namely, Fiscal Years 1993, 1994, or 1995. (See Questions 12.e-12.g.)

SUPPORT STAFF FTE: SUPPORT STAFF FTEs include persons in the TECHNOLOGY TRANSFER OFFICE who provide staff support for TECHNOLOGY TRANSFER ACTIVITIES. (See Question 4.)

these holdings. An internal sale (e.g. to the endowment) will constitute cashing-in if the transaction results in cash being made available for internal distribution. (See Questions 8.c and 9.)

EQUITY: EQUITY, for the purposes of this survey, is defined as an institution acquiring an ownership interest in a company (e.g., stock and rights to receiving stock). (See Questions 6.a, 9, and 12.g.)

EXCLUSIVE LICENSE: The assignment of a license between exclusive and non-exclusive should adhere to the terms of the license agreement. If a license is designated as exclusive in the license agreement, it should be assigned to exclusive licenses under this survey, including licenses that are designated as exclusive by field of use, territory, or otherwise. (See Question 6.c.)

INVENTION DISCLOSURES: INVENTION DISCLOSURES include the number of disclosures, no matter how comprehensive, that are made in the year requested and are counted by the institution. (See Question 11.)

LARGE COMPANY: A company that had more than 500 employees at the time the license/option was signed. (See Question 6.b.)

LEGAL FEES EXPENDITURES: LEGAL FEES EXPENDITURES include the amount spent by an institution in external legal fees for patents and/or copyrights. This amount includes fees incurred in support of prosecution, maintenance, litigation, and interference costs. They do not include direct payment of patenting costs by licensees. (See Question 10.)

LEGAL FEES REIMBURSEMENTS: LEGAL FEES REIMBURSEMENTS include the amount reimbursed by licensees to the institution for LEGAL FEES EXPENDITURES, including reimbursement of fees related to prosecution, maintenance, litigation, and interference costs. (See Question 10.)

LICENSE INCOME PAID TO OTHER INSTITUTIONS: LICENSE INCOME PAID TO OTHER INSTITUTIONS (referred to in previous years as "Royalties Received Paid to Other Institutions") is a subset of LICENSE INCOME RECEIVED and should <u>not</u> be subtracted from the total. This number will be used to better define the double-count of LICENSE INCOME reported under this survey. It includes the amounts paid to other institutions under inter-institutional agreements. (See Question 8.a.)

LICENSE INCOME RECEIVED: LICENSE INCOME RECEIVED (referred to in previous years as "Royalties Received") includes: license issue fees, payments under options, annual minimums, running royalties, termination payments, the amount of equity received when cashed-in, and software end-user license fees equal to $1,000 or more, but <u>not</u> research funding, patent expense reimbursement, a valuation of equity not cashed-in, software end-user license fees less than $1,000, or trademark licensing royalties from university insignia. (This is essentially the *same definition* used in previous years for Royalties Received.) (See Questions 8.a-8.c.)

LICENSE INCOME RECEIVED FROM OTHER INSTITUTIONS: LICENSE INCOME RECEIVED FROM OTHER INSTITUTIONS (referred to in previous years as "Royalties Received From Other Institutions") is a subset of LICENSE INCOME and should <u>not</u> be subtracted from the total. It

INSTRUCTIONS AND DEFINITIONS

AUTM Licensing Survey
(FY 1996)

INSTRUCTIONS:

Please answer each question carefully. Every question has been worded to attempt to reduce ambiguities. If you are not able to provide an exact response to a question, we would like you to provide your *best estimate* to the question, as opposed to providing no answer at all. Recognizing that misinterpretations may still occur, you are encouraged to contact Ms. Diane Hoffman at (609) 799-6187 if clarification is required. The survey requests data for a complete year regardless of your reporting year, i.e., Fiscal 1996 may be 10/95-9/96 or 7/95-6/96 or 1/1/96-12/31/96.

Do not leave any question blank and do not use a hyphen to respond. If the data are not available, note "N.A.". If the data are zero, be sure to note "0".

DISCUSSION OF THE QUESTIONS:

A discussion of the questions follows to aid in an accurate interpretation of the data requested.

Question 1: Self-explanatory.

Question 2: Self-explanatory.

Question 3: Enter the year in which your institution assigned at least 0.5 Professional FTE in support of Technology Transfer Activities. This year will be used as the start of Technology Transfer Activity at your institution. The individual assigned to Technology Transfer Activities may or may not have had a formal tech transfer job title and may or may not have been in an organizational unit with "technology transfer" in its title, i.e., technology transfer/licensing office.

Question 4: This question replaces the old questions on staffing levels. *You are no longer required to assign an estimate of FTEs for licensing activities*. See definitions for Professional FTE and Support Staff FTE when responding to this question.

Question 5: This is the *same question* asked in previous surveys for the reporting of research expenditure data.

Question 6: The first portion of this question, 6.a, requests the *same information* asked in previous surveys. Sections 6.b, 6.c, and 6.d request additional detailed data. Specifically, in 6.b the sum of Licenses/Options executed with Start-Ups, Small Companies, and Large Companies will equal the number of Licenses/Options executed in Fiscal Year 1996. In 6.c the sum of Licenses/Options negotiated as Exclusive and Non-Exclusive Licenses will equal the number of Licenses/Options executed in Fiscal Year 1996. Finally, in 6.d the sum of Active Licenses/Options assigned to Life Science and Physical Science will equal Total Active Licenses/Options reported for your institution in 6.a.

Question 7: This is the *same question* asked in previous years of the survey. It requests Research Funding that was committed to your institution that was related to License or Option Agreements executed

New!! **8.c)** How much of the **LICENSE INCOME RECEIVED** can be attributed to **RUNNING ROYALTIES** and to **CASHED-IN EQUITY**?

Year	*License Income Received (Same as 8.a)*	*License Income Received: Running Royalties*	*License Income Received: Cashed-In Equity*	*License Income Received: All Other Types*
Fiscal Year 1996				

9. EQUITY INCOME:

New!!

How much **CASHED-IN EQUITY** did your institution receive in Fiscal Year 1996? What is the current **VALUE OF ALL EQUITY HOLDINGS** for your institution at this time?

(Current Value of All Equity Holdings will be reported only in aggregate)

FY 1996 Amount of Cashed-In Equity (Same as 8.c)	*Current Value of All Equity Holdings*

10. LEGAL FEES EXPENDITURES AND REIMBURSEMENTS:

How much did your institution spend in external legal fees (**LEGAL FEES EXPENDITURES**) for patents and/or copyrights? How much did your institution receive in reimbursements for these fees from licensees (**LEGAL FEES REIMBURSEMENTS**)?

Year	*Amount Spent in External Legal Fees*	*Amount Reimbursed by Licensees*
Fiscal Year 1996		

11. PATENT-RELATED ACTIVITY:

How many **INVENTION DISCLOSURES** were received, **U.S. PATENT APPLICATIONS FILED**, and **U.S. PATENTS ISSUED** to your institution in Fiscal Year 1996? Of the **TOTAL U.S. PATENT APPLICATIONS** filed, how many of these filings were **NEW U.S. PATENT APPLICATIONS FILED**?

Year	*Invention Disclosures Received*	*Total U.S. Patent Applications Filed*	*New U.S. Patent Applications Filed*	*U.S. Patents Issued*
Fiscal Year 1996				