

U.S. DEPARTMENT OF DEFENSE
SMALL BUSINESS TECHNOLOGY TRANSFER (STTR) PROGRAM
COMPANY COMMERCIALIZATION REPORT

Failure to fill in all appropriate spaces may cause your proposal to be disqualified

FIRM NAME: _____

MAIL ADDRESS: _____

CITY: _____ STATE: _____ ZIP: _____

- < How many Phase II SBIR or STTR awards has your firm received from the Federal Government (including DoD)?
 (The answer "none" will not affect your ability to obtain an STTR award.) _____
- < If your firm has received 5 or more Phase II SBIR and/or STTR awards from the Federal Government and the first award was received prior to Jan. 1, 1993, what percentage of your firm's revenues during your last fiscal year is Federal SBIR and/or STTR funding (Phase I and/or II)? _____
- < Identify each Phase II SBIR and/or STTR project your firm has received and, for each project, provide the total revenue to date from resulting sales of new products or non-R&D services to DoD or its prime contractors, other government agencies, and private sector customers. Also provide total non-SBIR, non-STTR funding received from government and private sector sources to further develop the SBIR or STTR technology (including R&D, manufacturing, marketing, etc.). (Note: Do not count the same item as both "sales" and "non-SBIR/STTR funding", and do not count SBIR or STTR funds in either category.) Apportion sales revenue and non-SBIR, non-STTR funding among the various Phase II projects without double-counting. See back for definitions and further instruction.

Agency: _____ Topic Number: _____ Contract Number: _____
 Project Title: _____
 DoD/Primes Sales: _____ Other Gov't Sales: _____ Private Sector Sales: _____
 non-SBIR/STTR Gov't Funds: _____ non-SBIR/STTR Private Sector Funds: _____

Agency: _____ Topic Number: _____ Contract Number: _____
 Project Title: _____
 DoD/Primes Sales: _____ Other Gov't Sales: _____ Private Sector Sales: _____
 non-SBIR/STTR Gov't Funds: _____ non-SBIR/STTR Private Sector Funds: _____

Agency: _____ Topic Number: _____ Contract Number: _____
 Project Title: _____
 DoD/Primes Sales: _____ Other Gov't Sales: _____ Private Sector Sales: _____
 non-SBIR/STTR Gov't Funds: _____ non-SBIR/STTR Private Sector Funds: _____

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 Project Title: _____
 DoD/Primes Sales: _____ Other Gov't Sales: _____ Private Sector Sales: _____
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 Project Title: _____
 DoD/Primes Sales: _____ Other Gov't Sales: _____ Private Sector Sales: _____
 non-SBIR/STTR Gov't Funds: _____ non-SBIR/STTR Private Sector Funds: _____

Agency: _____ Topic Number: _____ Contract Number: _____
 Project Title: _____
 DoD/Primes Sales: _____ Other Gov't Sales: _____ Private Sector Sales: _____
 non-SBIR/STTR Gov't Funds: _____ non-SBIR/STTR Private Sector Funds: _____

FIRM CORPORATE OFFICIAL

NAME: _____ TELEPHONE: _____

TITLE: _____ FAX: _____

Before signing below, please read the cautionary note at Section 3.7

 SIGNATURE OF FIRM CORPORATE OFFICIAL DATE

INSTRUCTIONS FOR COMPLETING APPENDIX E

General:

The Company Commercialization Report (Appendix E) shall NOT be counted toward proposal page count limitations.

Appendix E should be the last page(s) of your proposal.

Use as many Appendix E forms as needed to report ALL Phase II projects. (Make black and white copies of this form, if necessary.) If multiple pages are submitted, fill in the "Page__of__" in the lower right corner.

Type in either a 10 or 12 characters per inch font.

Carefully align the forms in the typewriter using the underlines as a guide.

Use the Post Office two-letter abbreviation for the state (i.e. type NY not New York).

Definitions:

Sales - sales of products or non-R&D services resulting from the technology associated with this Phase II project. "Sales" does include the sale of technology or rights; it does not include R&D activity – i.e., activity directed toward reducing the technical risk associated with the technology. Specify the sales revenue in dollars (1) to the DoD and/or DoD prime contractors, (2) to other government agencies (federal, state, local and/or foreign), and (3) to the private sector. Include sales made by your firm as well as by other firms that may have acquired the SBIR or STTR developed technology. (e.g., spin-off companies, licensees, etc.) Do not count the same item as both "sales" and "non-SBIR/STTR funding", and do not count SBIR or STTR funds in either category.

non-SBIR/STTR funding - non-SBIR/non-STTR government or private sector funds to further develop the technology (including R&D, manufacturing, marketing, etc.) associated with this Phase II project.

Apportion sales/funding - If two or more Phase II projects contributed to a single products or technology right that has been sold or received non-SBIR, non-STTR funding, divide proportionately the sales or funding among the contributing projects. For example, Phase II projects A and B lead to the sale of a new product "Widget" to the Army for a total of \$10 million and to retail software stores for \$12 million. Under the heading "DoD/Primes Sales:" put \$5 million and under the heading "Private Sector Sales:" put \$6 million for both Phase II projects A and B.

non-R&D Services - any services that do not include additional R&D work on the SBIR/STTR technology – for example, engineering services, study and analysis, information services.

Submission:

ALL Phase I and Phase II proposals must include a Company Commercialization Report (Appendix E). Please do not summarize or submit any other supplemental material.

Request for Copies:

Additional forms may be downloaded from our Home Page (<http://www.acq.osd.mil/sadbu/sbir>). They may also be obtained from your State SBIR/STTR Organization (Reference D) or:

DoD SBIR/STTR Support Services
2850 Metro Drive
Suite 600
Minneapolis, MN 55425-1566
(800) 382-4634

