



# COMMERCIALIZATION PLAN WORKSHEET

OFFICE OF TECHNOLOGY TRANSFER  
ARGONNE NATIONAL LABORATORY

## I. PURPOSE

The Laboratory requires a commercialization plan from all its prospective licensees before licensing its intellectual property. The plan better enables the Laboratory and the prospective licensee to determine and characterize the business fit between their interests. The commercialization plan also provides information for the Laboratory to use in assessing the prospective licensee's intent and plan to achieve commercial use of the Laboratory Intellectual Property. Finally, the plan provides the Laboratory input on its calculation of value of the intellectual property to both Parties. If a commercialization plan has already been developed, and contains the information requested below, then that plan may be submitted. If no commercialization plan has been developed, then the following worksheet will be of value in defining the commercialization plan. All information provided is considered business proprietary and not available to the public.

This Commercialization Plan Worksheet is intended to aid in the development and understanding of the Commercialization Plan. This worksheet has three sections:

- 1) General Company Information,
- 2) Product Licensing and Sales Information, and
- 3) Equity Licensing Information.

The intent of the questionnaire below is to have the business partner provide as much information as possible, and not all questions may be applicable.



II. GENERAL COMPANY INFORMATION:

A. Principal Contact  
\_\_\_\_\_  
Telephone: \_\_\_\_\_  
Title \_\_\_\_\_ Fax: \_\_\_\_\_  
E-mail: \_\_\_\_\_

Additional Contact (provide multiple entries if appropriate)  
\_\_\_\_\_  
Telephone: \_\_\_\_\_  
Title \_\_\_\_\_ Fax: \_\_\_\_\_  
E-mail: \_\_\_\_\_

B. Company Full Legal Name and address:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

C. State of Incorporation \_\_\_\_\_ If foreign provide country

D. Headquarters (if different from address provided above)  
\_\_\_\_\_

E. Approximate number of employees:  
Full time: \_\_\_\_\_  
Part-time: \_\_\_\_\_

F. Age of company  
\_\_\_\_\_

G. Approximate volume of company sales (in dollars)  
\$ \_\_\_\_\_

III. PRODUCT LICENSING AND SALES INFORMATION

A. License Rights requested.

1. What is the Argonne intellectual property of interest?  
\_\_\_\_\_

2. Type of license desired: Exclusive? \_\_\_ or Nonexclusive? \_\_\_  
If exclusive, please specify a Defined Field(s) of Use:  
\_\_\_\_\_

3. Geographic Territories? \_\_\_\_\_ (If checked, please specify)  
\_\_\_\_\_

4. Specific Term (duration)? Please specify  
\_\_\_\_\_

5. Are Sublicense rights desired? Yes \_\_\_ No \_\_\_



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B. Is additional R&D necessary to further develop or complete the product?

Yes \_\_\_\_\_ No \_\_\_\_\_ (If No, continue to section C. below.)

1. What type of technical assistance, if any, does the prospective licensee wish from the Laboratory in commercializing the licensed Intellectual Property? (Attach a separate sheet if necessary.)

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

a. What is the estimated cost of this development to Argonne?

\_\_\_\_\_

b. What is the estimated cost of this development to the company? \_\_\_\_\_

c. Estimated time frame for completion? \_\_\_\_\_

**NOTE:** Technical assistance provided by Argonne National Laboratory will require a separate sponsored research agreement.

2. If appropriate, elaborate on the technical assistance that will be requested. Please include identification of work to be conducted, how much, over what period of time and an estimate of the cost of the program or the manpower requirements.

\_\_\_\_\_  
 \_\_\_\_\_

3. If appropriate, elaborate on what product development activities will be accomplished to produce and roll out New Products which incorporate the Laboratory's Intellectual Property?

\_\_\_\_\_  
 \_\_\_\_\_

C. If known, please list the applications or uses of the New Products, the competing products for the application or use and the advantages of the New Products

New Product Application / Use	Competing Product / Material	New Product Advantages or Value
1.		
2.		
3.		



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D. What Markets will the products incorporating the Intellectual Property be sold into? What is the size and growth of each?

Market	Size (units/\$)	Growth (%/yr)
1.		
2.		
3.		

E. What are the expected or estimated annual Sales of the new products for the first five years of the license?

Year	Number of Units	Sales in \$
Year 1		
Year 2		
Year 3		
Year 4		
Year 5		

F. Where will the prospective licensee make or practice this product, process, or service?

In the U.S.? Yes \_\_\_\_ No \_\_\_\_

If in the U.S., where? \_\_\_\_\_

If outside the U.S., where? \_\_\_\_\_

If manufacture of products is outside the U.S., what percentage of components will be manufactured in U.S.? \_\_\_\_\_

G. Other comments: Please complete add any additional information that would support the business case for this license.

H. Have you thought about licensing terms and conditions? Yes \_\_\_\_ No \_\_\_\_



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If Yes, please fill out your initial offer

Up-front fee \_\_\_\_\_ Running royalty rate \_\_\_\_\_

If sublicensing, Royalty split: \_\_\_\_\_

Diligences on sales or production: Year 1 \_\_\_\_\_  
Year 2 \_\_\_\_\_  
Year 3 \_\_\_\_\_  
Year 4 \_\_\_\_\_  
Year 5 \_\_\_\_\_

Other licensing considerations: (Milestones, time to first offer for sale, time-to-first sale, split up-front fees, service royalty rates, product listed in catalogue, etc.)

## IV. EQUITY LICENSING INFORMATION:

The following information and section is to be completed **only** if equity is to be provided as part of the licensing agreement.

A. How is the company organized? (Limited partnership, 503 C, S Corp., etc.)  
\_\_\_\_\_

B. What products (name only the top 3) are currently being sold and their cash flow over the last three years.

Product	Sales Volume (\$)/year
1.	Yr. 1 _____
	Yr. 2 _____
	Yr. 3 _____
2.	Yr. 1 _____
	Yr. 2 _____
	Yr. 3 _____
3.	Yr. 1 _____
	Yr. 2 _____
	Yr. 3 _____

C. What is the estimated value of the company? If a third-party evaluation is available please attach documentation.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

D. Amount of cash on hand? \_\_\_\_\_



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- E. Current debt load? \_\_\_\_\_
- F. How many shares have been created, and who are the top two owners  
Total number of shares: Preferred \_\_\_\_\_  
Common \_\_\_\_\_  
Owner 1 \_\_\_\_\_  
Owner 2 \_\_\_\_\_
- G. What is the current value of a share of stock? What is the equity position, in dollars and shares, provided in exchange for the license (or upfront fee)?  
Preferred \_\_\_\_\_ Common \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- H. Would you provide an ANL member a seat of the Board of Directors?  
Yes \_\_\_\_\_ No \_\_\_\_\_  
Voting \_\_\_\_\_ Non-voting \_\_\_\_\_
- I. What is the exit strategy for the company, if any? (Acquisition, IPO, Maintain as private, etc.)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- J. Is there an estimated time frame for acquisition, IPO, etc. (in years)  
\_\_\_\_\_  
\_\_\_\_\_
- K. If an acquisition is the exit strategy, who are likely candidates?  
\_\_\_\_\_  
\_\_\_\_\_
- Are discussions for acquisition currently underway?  
\_\_\_\_\_
- L. Is the company currently or in the near future seeking additional capital?  
Yes \_\_\_\_\_ No \_\_\_\_\_  
If Yes, from who? \_\_\_\_\_  
If Yes, amount of capital \_\_\_\_\_