

# 기술[특허] 마케팅

정국제특허법률사무소

김 상 도

[sdkimkor@empal.com](mailto:sdkimkor@empal.com)

# 기술마케팅 시 애로사항

# 마케팅의 정의

**“개인과 조직의 목표를 충족시킬 교환을 야기시키기 위하여  
아이디어 및 제품, 서비스의 개념화와 가격결정, 촉진,유통을  
계획하고 수행하는 과정이다” (1985년 미국마케팅협회)**

# 기술 마케팅의 정의

**“개인과 조직의 목표를 충족시킬 교환을 야기시키기 위하여  
기술의 가격결정, 촉진,유통을 계획하고 수행하는 과정이다”**

# 기술이전

"기술이전"이라 함은 특허법 등 관련법률에 의하여 등록된 특허·실용신안·디자인·반도체배치설계, 기술이 집적된 자본재·소프트웨어 등 지적 재산인 기술 및 디자인·기술정보 등 기타의 기술(이하 "기술"이라 한다)이 양도·실시권 허여·기술지도 등의 방법을 통하여 기술보유자(당해 기술을 처분할 권한이 있는 자를 포함한다)로부터 그 외의 자에게 이전되는 것을 말한다.(기술이전촉진법 제2조)

# 기술거래의 성립형태

- 제공자와 수혜자 간의 Consideration  
[생산기술, Know-how...]
- 제공자의 강제 (Patent, Standard)
- Patent =>> 수혜자의 자발적 Needs (?)

# 기술거래 3핵심 요소

- 대상기술(특허)
- 거래방식(실시권)
- 거래조건(지불조건)

# 기술가치 평가

- 비용접근법(Cost Approach)
- 소득접근법(Income Approach)
- 시장사례접근법(Market Approach)
- 혼합형 접근법(Mixed Approach)



# 기술거래의 대가

- Initial Payment
- Projective Payment
  
- Drawings & Docs
- Engineering
- Quality Assurance

# 기술대가의 형태

- Lump sum
- Running
- Fixed
- Mixed

# Running R'ty 산정기준

- 제조원가 연동
- 절감금액 연동
- 순이익 연동
- 매출액 연동(GFK, NPD, IDC...)

# 이전대상 기술의 발굴 및 활용

- Target Company List-up
- Target Company Monitoring
- Product Monitoring
- Market Monitoring

# Target company List-up

- USPTO

<http://www.uspto.gov/patft>

# Target company List-up

파일(F) 편집(E) 보기(V) 즐겨찾기(S) 도구(T) 도움말(H)

뒤로 · 앞으로 · 새로 고침 · 홈 · 검색 · 즐겨찾기 · 인쇄 · 이메일 · 도움말 · 연결

주소(D) http://www.uspto.gov/patft/ 이동 연결

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(published since 15 March 2001)

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# Target company List-up

CDMA base station modulator for digital cellular mobile communication systems

## Abstract

A base station modulator for the digital cellular mobile communication system achieves reduced hardware complexity in a base band QPSK modulating circuit by applying the Multilevel Logic Operation (MLO) which is extended from the conventional binary exclusive-OR operation, to the conventional Base Station Modulator (BSM). The base station modulator includes a plurality of spreaders 621 for QPSK spreading of a voice data stream. These spreaders 621 employ binary-multilevel Logic (MLO) gates instead of multiple binary exclusive-OR gates. The binary-multilevel Logic gate includes a subtractor 510 and a selector 520. The subtractor has one input (-) to which multilevel logic values are applied and one input (+) to which a maximum logic level of the multilevel logic values is applied. The selector has one input to which the multilevel logic values are applied, one input to which the output signal of the subtractor 510 is applied, and one control input to which the binary logic value is applied. If the binary logic value is zero (0), the selector 520 selects and outputs the multilevel logic values, and if the binary logic value is one (1), the selector 520 selects and outputs the output signal from the subtractor 510.

Inventors: **Kim: Jin U.** (Daejeon, KR), **Kim: Sun Y.** (Daejeon, KR), **Lee: Jeom D.** (Daejeon, KR), **Lee: Sung K.** (Daejeon, KR)  
Assignee: **Electronics and Telecommunications Research Institute** (Daejeon, KR)  
Appl. No.: **08/348,071**  
Filed: **November 23, 1994**

## Foreign Application Priority Data

Dec 01, 1993 [KR]

1993-26127

Current U.S. Class:

370/335 ; 370/209

Current International Class:

H04J 11/00 (20060101); H04J 13/00 (20060101); H04K 001/02 (); H04J 011/00 (); H04J 013/00 ()

Field of Search:

375/205,208,279,281,308,229 370/18,22,19 327/164 379/58 455/33.1 332/103

## References Cited [Referenced By]

### U.S. Patent Documents

|                         |               |                   |
|-------------------------|---------------|-------------------|
| <a href="#">5235614</a> | August 1993   | Bruckert et al.   |
| <a href="#">5291515</a> | March 1994    | Uchida et al.     |
| <a href="#">5373502</a> | December 1994 | Turban            |
| <a href="#">5406629</a> | April 1995    | Harrison et al.   |
| <a href="#">5416797</a> | May 1995      | Gilhousen et al.  |
| <a href="#">5442625</a> | August 1995   | Gitlin et al.     |
| <a href="#">5465269</a> | November 1995 | Schnoffner et al. |
| <a href="#">5471497</a> | November 1995 | Zehavi            |

# Target company List-up

Searching US Patent Collection...

Results of Search in US Patent Collection db for:

REF/5619526: 34 patents.

Hits 1 through 34 out of 34

Jump To

Refine Search

ref/5619526

| PAT. NO.                     | Title  |
|------------------------------|--|
| 1 <a href="#">7,123,600</a>  | <b>T</b> <a href="#">Initial power control for spread-spectrum communications</a>  |
| 2 <a href="#">7,072,380</a>  | <b>T</b> <a href="#">Apparatus for initial power control for spread-spectrum communications</a>                                  |
| 3 <a href="#">7,023,872</a>  | <b>T</b> <a href="#">Method and apparatus for assigning spreading codes</a>  |
| 4 <a href="#">7,020,111</a>  | <b>T</b> <a href="#">System for using rapid acquisition spreading codes for spread-spectrum communications</a>                   |
| 5 <a href="#">7,012,907</a>  | <b>T</b> <a href="#">Packet spread-spectrum receiver</a>   |
| 6 <a href="#">6,985,467</a>  | <b>T</b> <a href="#">Rapid acquisition spreading codes for spread-spectrum communications</a>                                    |
| 7 <a href="#">6,983,009</a>  | <b>T</b> <a href="#">Median weighted tracking for spread-spectrum communications</a>   |
| 8 <a href="#">6,940,841</a>  | <b>T</b> <a href="#">Packet-switched spread-spectrum system</a>  |
| 9 <a href="#">6,940,840</a>  | <b>T</b> <a href="#">Apparatus for adaptive reverse power control for spread-spectrum communications</a>                         |
| 10 <a href="#">6,894,997</a> | <b>T</b> <a href="#">Packet spread-spectrum transmitter</a>  |
| 11 <a href="#">6,873,645</a> | <b>T</b> <a href="#">Automatic power control system for a code division multiple access (CDMA) communications system</a>         |
| 12 <a href="#">6,853,631</a> | <b>T</b> <a href="#">Code-division multiplex communication transmitting apparatus and receiving apparatus and method thereof</a> |
| 13 <a href="#">6,847,677</a> | <b>T</b> <a href="#">Method and apparatus for efficient Walsh covering and summing of signals in a communication system</a>      |
| 14 <a href="#">6,831,905</a> | <b>T</b> <a href="#">Spread spectrum system assigning information signals to message-code signals</a>                            |
| 15 <a href="#">6,816,473</a> | <b>T</b> <a href="#">Method for adaptive forward power control for spread-spectrum communications</a>                            |
| 16 <a href="#">6,801,516</a> | <b>T</b> <a href="#">Spread-spectrum system for assigning information signals having different data rates</a>                    |
| 17 <a href="#">6,788,662</a> | <b>T</b> <a href="#">Method for adaptive reverse power control for spread-spectrum communications</a>                            |
| 18 <a href="#">6,744,809</a> | <b>T</b> <a href="#">Efficient multipath centroid tracking circuit for a code division multiple access (CDMA) system</a>         |
| 19 <a href="#">6,721,349</a> | <b>T</b> <a href="#">Method and apparatus for reducing peak-to-average ratio in a CDMA communication system</a>                  |
| 20 <a href="#">6,580,702</a> | <b>T</b> <a href="#">Data transmission apparatus for CDMA communication system and method thereof</a>                            |
| 21 <a href="#">6,549,525</a> | <b>T</b> <a href="#">High data rate CDMA wireless communication system</a>   |
| 22 <a href="#">6,542,484</a> | <b>T</b> <a href="#">Code allocation for radiocommunication systems</a>  |
| 23 <a href="#">6,519,456</a> | <b>T</b> <a href="#">Softer handoff in a base station employing virtual channel elements</a>                                     |
| 24 <a href="#">6,434,131</a> | <b>T</b> <a href="#">CDMA method with increased capacity</a>   |
| 25 <a href="#">6,396,804</a> | <b>T</b> <a href="#">High data rate CDMA wireless communication system</a>   |
| 26 <a href="#">6,314,107</a> | <b>T</b> <a href="#">Method and apparatus for assigning spreading codes</a>  |



## 샘플: 특허기술 이전대상 잠재적 침해자 (번호별)

|           | Ref       | Company  | Group |
|-----------|-----------|--|-------|
| 5,619,526 | 6,108,369 | Telefonaktiebolaget LM Ericsson (Stockholm, SE)        | 무선통신  |
| 5,619,526 | 6,542,484 | Telefonaktiebolaget LM Ericsson (publ) (Stockholm, SE) | 무선통신  |
| 5,619,526 | 6,847,677 | Qualcomm, Incorporated (San Diego, CA)                 | 무선통신  |
| 5,619,526 | 7,023,872 | Qualcomm Incorporated (San Diego, CA)                  | 무선통신  |
| 5,619,526 | 7,020,111 | InterDigital Technology Corporation (Wilmington, DE)   | 무선통신  |
| 5,619,526 | 6,985,467 | InterDigital Technology Corporation (Wilmington, DE)   | 무선통신  |
| 5,619,526 | 6,983,009 | InterDigital Technology Corporation (Wilmington, DE)   | 무선통신  |
| 5,619,526 | 6,940,840 | InterDigital Technology Corporation (Wilmington, DE)   | 무선통신  |
| 5,619,526 | 6,873,645 | InterDigital Technology Corporation (Wilmington, DE)   | 무선통신  |
| 5,619,526 | 6,831,905 | InterDigital Technology Corporation (Wilmington, DE)   | 무선통신  |
| 5,619,526 | 6,816,473 | InterDigital Technology Corporation (Wilmington, DE)   | 무선통신  |
| 5,619,526 | 6,801,516 | InterDigital Technology Corporation (Wilmington, DE)   | 무선통신  |
| 5,619,526 | 6,788,662 | InterDigital Technology Corporation (Wilmington, DE)   | 무선통신  |
| 5,619,526 | 6,744,809 | InterDigital Technology Corporation (Wilmington, DE)   | 무선통신  |
| 5,619,526 | 6,940,841 | Golden Bridge Technology, Inc. (West Long Branch, NJ)  | 무선통신  |
| 5,619,526 | 6,262,971 | Golden Bridge Technology, Inc. (West Long Branch, NJ)  | 무선통신  |
| 5,619,526 | 6,894,997 | Golden Bridge Technology, Inc. (West Long Beach)       | 무선통신  |
| 5,619,526 | 7,012,907 | Golden Bridge Technology, Inc. (Long Branch, NJ)       | 무선통신  |
| 5,619,526 | 6,853,631 | Fujitsu Limited (Kawasaki, JP)                         | 무선통신  |
| 5,619,526 | 6,434,131 | Alcatel (Paris, FR)                                    | 무선통신  |

## 샘플: 특허기술 이전대상 잠재적 침해자 (회사별)

|           | Intel     | Company                             | Group   |
|-----------|-----------|-------------------------------------|---------|
| 6,025,877 | 6,363,413 | Intel Corporation                   | 컨텐츠     |
| 6,853,588 | 7,106,633 | Intel Corporation (Santa Clara, CA) | 소프트웨어   |
| 6,853,588 | 6,956,775 | Intel Corporation (Santa Clara, CA) | 소프트웨어   |
| 6,266,458 | 7,006,716 | Intel Corporation (Santa Clara, CA) | IT-핵심기술 |
| 6,141,785 | 7,017,075 | Intel Corporation (Santa Clara, CA) | 네트워크    |
| 6,138,234 | 6,925,556 | Intel Corporation (Santa Clara, CA) | 네트워크    |
| 6,138,234 | 6,732,264 | Intel Corporation (Santa Clara, CA) | 네트워크    |
| 6,061,345 | 7,080,168 | Intel Corporation (Santa Clara, CA) | 네트워크    |
| 6,061,345 | 7,062,592 | Intel Corporation (Santa Clara, CA) | 네트워크    |
| 6,061,345 | 7,023,844 | Intel Corporation (Santa Clara, CA) | 네트워크    |
| 6,061,345 | 7,000,061 | Intel Corporation (Santa Clara, CA) | 네트워크    |
| 6,061,345 | 6,687,246 | Intel Corporation (Santa Clara, CA) | 네트워크    |
| 5,946,405 | 6,377,970 | Intel Corporation (Santa Clara, CA) | 방송위성    |
| 5,946,405 | 6,243,803 | Intel Corporation (Santa Clara, CA) | 방송위성    |

# 기술[특허]이전 협상

# 특허 협상

- **Proposal or Claim letter**
- **Technical Meeting**
- **Business Meeting**
- **Litigation-Claim letter**

# 『기술』 거래대상으로서의 특성

- 무형(Intangible)
- 평가(Hard to value)
- 비밀(Confidential)
- 대가(Royalty)

=> key word **협상력**

# 협상력 강화

- 주요고려사항
  - 협상 팀 (Team work)
  - 특허가치평가
  - 시장분석
  - 협상전략(시나리오)
  - 협상가 ( Negotiator )
  - Legal Counsel

# 협상력 강화

## □ 협상가의 조건

- 기술(특허) 분석력
- Presentation Skill
- Business 감각
- 전략적 사고(판단력,유연함)
- 의사결정 능력(권한)
- 언어구사 능력

# 협상력 강화

## □ 협상가의 역할

- Good guy
- Tough guy



# Expert vs. Amateur

|      | 전문가  | 아마추어 |
|------|------|------|
| 사전준비 | 철저   | -    |
| 논리전개 | 능숙   | -    |
| 협상진행 | Soft | -    |
| 위기대응 | 예측   | -    |
| 협상대화 | 쌍방   | -    |
| 실수오류 | 없다   | -    |

# Expert vs. Amateur

|      | 전문가 | 아마주어 |
|------|-----|------|
| 진위파악 | 정확  | -    |
| 약점노출 | 불변  | -    |
| 언어구사 | 절제  | -    |
| 의견대립 | 절충  | -    |
| 기회포착 | 입체  | -    |
| 합의도달 | 승복  | -    |

# 사 례 연 구

# 시장조사 및 수요예측

- **시장조사**

- internet: homepage, News...
- Search company (GFK, NPD, IDC, Gii...)
- Annual report

- **시장예측**

- Internet: Homepage, News
- News release information
- Annual report

# 사례

**[특10-0XXXXXX]**

**출원일: 1997년 7월**

**공개일: 1999년 2월**

**등록일: 1999년 10월**

**제 목: 디지털 스틸 카메라의 화상 정보 표시 장치 및 그 방법**

**범 위: 터치스크린을 사용하며 카메라 기능이 있는 모바일 장치**

# 사례

## [특10-0XXXXXX]

### 청구항 1

인가되는 화상 정보를 압축하고, 압축된 화상 정보를 복원하는 압축/복원 수단과;

압축된 화상 정보를 저장하는 저장수단과;

하나의 화상 정보를 한 화면상에 표시하는 싱글 모드와, 한 화면을 분할하여 다수의 화상 정보를 표시하는 멀티 모드를 선택하는 선택수단과;

상기 선택 수단에 의한 모드 선택 여부에 따라 하나의 화상 정보를 한 화면상에 표시하거나 한 화면을 분할하여 다수의 화상 정보를 표시하는 표시 수단과;

표시하고자 하는 화상 정보를 임시 저장하는 임시 저장수단과;

상기 표시 수단의 각 분할 화면의 선택 여부를 감지하는 감지수단과;

멀티 모드가 선택되어 상기 표시 수단의 화면이 다수 분할되어 다수의 화상 정보가 동시에 표시되는 경우에, 상기 감지수단으로 임의 분할 화면이 선택되면, 표시되던 다수의 화상 정보를 임시 저장 수단에 저장하여 다수 표시 동작을 중지하고, 선택된 분할 화면에 표시되는 화상 정보만을 상기 저장 수단으로부터 리드하여 복원시킨 다음 표시 수단을 통하여 표시되도록 제어하는 제어수단을 포함하여 이루어지는 디지털 스틸 카메라의 화상 정보 표시 장치.

# 사례

## [특10-0XXXXXX]

### 청구항4

제1항에 있어서, 상기한 감지 수단은 터치 스크린 방식에 따라 임의 분할 화면이 선택되는 것을 감지하는 디지털 스틸 카메라의 화상 정보 표시 장치.

# 사례

## [특10-0XXXXXX]

청구항15

한 화면을 분할하여 다수의 화상 정보를 표시하는 멀티 모드의 선택 여부를 판단하는 단계와;

멀티 모드가 선택된 경우에 다수의 화상 정보를 한 화면상에 표시하는 단계와;

한 화면상에 표시되는 다수 화상 정보 중 임의 화상 정보만이 화면상에 표시되도록 하는 동작이 선택되었는지의 여부를 판단하는 단계와;

상기 동작이 선택된 경우에 화면상에 표시되는 다수 화상 정보의 표시 동작을 중지하고, 선택된 화상 정보만을 화면상에 표시하는 단계를 포함하여 이루어지는 디지털 스틸 카메라의 화상 정보 표시 방법.



# 대상선정 및 시장조사

## [특10-0XXXXXX]

### 침해가 되는 제품

SONY : DSC N series, Camcorder

APPLE : i-Phone

BEN-Q : DSC

LG : Prada Phone

# 시장조사 및 수요예측[SONY]

Sony launched DSN N1 and N2



## 인덱스 화면을 보려면

인덱스(인덱스)를 눌러 주십시오. 단일 화상 화면에서 보고자 하는 화상을 눌러 주십시오.

이전 / 다음 화면을 표시하려면 ◀ / ▶를 눌러 주십시오.



인덱스(인덱스)를 다시 한 번 누르면 12 화상 인덱스 화면이 표시됩니다.

# 시장조사 및 수요예측[SONY]

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• 홈 > 정품디지털카메라 > 소니 > 1000만화소      [BACK](#)



**[정 품] DSC-N2**

제 조 회사 : 소니코리아정품

화 소 수 : 1000만화소

메 모 리 : 메모리스틱

배 터 리 : 전용배터리

판 매 가 격 : 372,000원

결 제 방 법 : 현금/카드 모두 결제 가능

적 립 금 액 : 435

주 문 수 량 :  개 + -

총 결제액 : 372000 원

[상품리스트](#)      [구매하기](#)

**2006.6월 기준  
7억 원의 가치**





※

iPhone



## Introducing iPhone

iPhone combines three amazing products — a revolutionary mobile phone, a widescreen iPod with touch controls, and a breakthrough Internet communications device with desktop-class email, web browsing, maps, and searching — into one small and lightweight handheld device. iPhone also introduces an entirely new user interface based on a large multi-touch display and pioneering new software, letting you control everything with just your fingers. So it ushers in an era of software power and sophistication never before seen in a mobile device, completely redefining what you can do on a mobile phone.

-  Widescreen iPod
-  Revolutionary Phone
-  Breakthrough Internet Device
-  High Technology



Watch "Hello" >

Watch the Keynote >

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multi-touch display and pioneering new software, letting you control everything with just your fingers. So it ushers in an era

## A Closer Look At The iPhone

**Added:** January 10, 2007 · **From:** CBS

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# 시장조사 및 수요예측(BenQ)



## User Manual

To view multiple files:

1. Press  > W.
2. Maximum 9 files (shown in thumbnails) are displayed on the screen. Tap a thumbnail to view the corresponding file in its normal view, or tap  /  to move to different pages to view other files.

# 시장조사 및 수요예측(Apple)

[2007.1 Cnet News]

- \$499에 판매하는 4GB iPhone의 원가는 \$245.83이다.
- \$599에 판매하는 8GB iPhone의 원가는 \$280.83이다.

## Price cuts on Apple iPhone likely,

By Michael Kanellos

Staff Writer, CNET News.com

Published: January 18, 2007, 10:21 AM PST

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**Apple will likely have some wiggle room to cut retail prices on the iPhone, if a report from iSuppli proves correct.**

The consulting firm on Thursday released an analysis of what the total component budget will likely be for the Apple iPhone. The \$499 iPhone, which comes with 4GB of memory, will likely have a component budget of \$229.85. Assembly costs will raise the total manufacturing price to \$245.83, according to the analysis.

Meanwhile, the \$599 iPhone, sporting 8GB of memory, will have a component budget of \$264.85, with a total manufacturing cost of \$280.83, according to the report.

[http://news.com.com/Price+cuts+on+Apple+iPhone+likely,+analysis+finds/2100-1041\\_3-6151185.html](http://news.com.com/Price+cuts+on+Apple+iPhone+likely,+analysis+finds/2100-1041_3-6151185.html)




# 시장조사 및 수요예측(Apple)

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## Apple's Impressive iPhone Sales Projections

Posted on Mar 27th, 2007 with stocks: [AAPL](#)

**The VAR Guy submits:** I love crunching numbers. So, I spent some time on Apple's ([AAPL](#)) [10Q filing](#) with the SEC. In it, Apple reveals that the company sold 8.1 million iPods in its quarter ended July 1. Now, let's be wildly conservative and assume that iPod sales don't grow and generate 12-month sales of 32.4 million units. If 10 percent of iPod buyers instead opt for the iPhone, that's 3.2 million units annually.

So how much additional revenue is that to Apple? The typical iPod sale is \$185, according to the SEC filing. Now, let's also assume that Apple grosses \$499 per iPhone (another low estimate). That means each pending iPod customer who instead chooses an iPhone generates \$314 in additional revenue for Apple. So, \$314 x 3.2 million units = \$1 billion in new, first-year iPhone revenue for Apple--just from the target iPod customer base.

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### iPhone

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# 시장조사 및 수요예측(Apple)

Plus, I firmly believe that Cisco (CSCO) will find a way to connect corporate networks to the iPhone, meaning that the Apple device could be a hit with corporate executives.

What about all of those existing cell phone users out there? There will be 1 billion cell phone handsets in use by 2009, predicts Gartner. If Apple gets only one tenth of one percent of that installed base, the iPhone will sell 9 million units, generating \$4.49 billion in revenue.

Of course, instead of wasting all this time crunching numbers, I could have checked the Web for preliminary iPhone sales projections. Bernstein Research predicts Apple will sell 7 million iPhones in 2007 and 15 million in 2008. At a minimum of \$499 each, that's \$3.4 billion to \$7.5 billion in annual iPhone revenue for Apple. Impressive!

What does all this mean for investors and tech consultants? Sure, the iPhone is mainly a consumer device. And if it doesn't work as advertised, the iPhone could bomb. But there's a B2B play here folks. Existing Apple technology consultants should feel vindicated. The iPhone runs Mac OS X and sets the stage for full-blown mobile applications that ride across public broadband networks. And since the iPhone has a mainstream Web browser built in, application service providers and other online services can tune their systems to support iPhone customers.

Well, I have already broken my promise not to hype the iPhone. Sorry about that. The numbers got the best of me.

# 시장조사 및 수요예측(Apple)

**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION**  
Washington, D.C. 20549

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**Form 10-K**

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(Mark One)

- ANNUAL REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE  
SECURITIES EXCHANGE ACT OF 1934**

For the fiscal year ended September 30, 2006

or

- TRANSITION REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE  
SECURITIES EXCHANGE ACT OF 1934**

For the transition period from \_\_\_\_\_ to \_\_\_\_\_

Commission file number 000-10030

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**APPLE COMPUTER, INC.**

(Exact name of registrant as specified in its charter)

# 시장조사 및 수요예측(Apple)

Five fiscal years ended September 30, 2006  
(In millions, except share and per share amounts)

|   | 2006      | 2005               | 2004               | 2003               | 2002               |
|---|-----------|--------------------|--------------------|--------------------|--------------------|
|   |           | As<br>Restated (1) | As<br>Restated (1) | As<br>Restated (2) | As<br>Restated (2) |
| Net sales   | \$ 19,315 | \$ 13,931          | \$ 8,279           | \$ 6,207           | \$ 5,742           |
| Net income  | \$ 1,989  | \$ 1,328           | \$ 266             | \$ 57              | \$ 42              |
| Earnings per common share:                                  |           |                    |                    |                    |                    |
| Basic   | \$ 2.36   | \$ 1.64            | \$ 0.36            | \$ 0.08            | \$ 0.06            |
| Diluted   | \$ 2.27   | \$ 1.55            | \$ 0.34            | \$ 0.08            | \$ 0.06            |
| Cash dividends declared per common share                    | \$ —      | \$ —               | \$ —               | \$ —               | \$ —               |
| Shares used in computing earnings per share (in thousands): |           |                    |                    |                    |                    |
| Basic   | 844,058   | 808,439            | 743,180            | 721,262            | 710,044            |
| Diluted   | 877,526   | 856,878            | 774,776            | 723,352            | 721,445            |
| Cash, cash equivalents, and short-term investments          | \$ 10,110 | \$ 8,261           | \$ 5,464           | \$ 4,566           | \$ 4,337           |
| Total assets  | \$ 17,205 | \$ 11,516          | \$ 8,039           | \$ 6,817           | \$ 6,305           |
| Long-term debt (including current maturities)               | \$ —      | \$ —               | \$ —               | \$ 304             | \$ 316             |
| Total liabilities   | \$ 7,221  | \$ 4,088           | \$ 2,976           | \$ 2,594           | \$ 2,205           |
| Shareholders' equity  | \$ 9,984  | \$ 7,428           | \$ 5,063           | \$ 4,223           | \$ 4,100           |

# 시장조사 및 수요예측(Apple)

**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION**  
Washington, D.C. 20549

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**Form 10-Q**

(Mark One)

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- QUARTERLY REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE SECURITIES  
EXCHANGE ACT OF 1934**

For the quarterly period ended December 30, 2006

or

- TRANSITION REPORT PURSUANT TO SECTION 13 OR 15(d) OF THE SECURITIES  
EXCHANGE ACT OF 1934**

For the transition period from \_\_\_\_\_ to \_\_\_\_\_

Commission file number: 000-10030

**Apple Inc.**

(Exact name of Registrant as specified in its charter)

# 시장조사 및 수요예측(Apple)

## PART I. FINANCIAL INFORMATION

### Item 1. Financial Statements

#### APPLE INC.

#### CONDENSED CONSOLIDATED STATEMENTS OF OPERATIONS (Unaudited) (in millions, except share and per share amounts)

|  | Three Months Ended |                   |
|--|--------------------|-------------------|
|  | December 30, 2006  | December 31, 2005 |
| Net sales  | \$ 7,115           | \$ 5,749          |
| Cost of sales (1)  | 4,895              | 4,185             |
| Gross margin   | 2,220              | 1,564             |
| Operating expenses:  |                    |                   |
| Research and development (1)   | 184                | 182               |
| Selling, general, and administrative (1)                                       | 714                | 632               |
| Total operating expenses   | 898                | 814               |
| Operating income   | 1,322              | 750               |
| Other income and expense   | 126                | 81                |
| Income before provision for income taxes                                       | 1,448              | 831               |
| Provision for income taxes   | 444                | 266               |
| Net income   | \$ 1,004           | \$ 565            |
| Earnings per common share:   |                    |                   |
| Basic  | \$ 1.17            | \$ 0.68           |
| Diluted  | \$ 1.14            | \$ 0.65           |
| Shares used in computing earnings per share (in thousands):                    |                    |                   |
| Basic  | 857,691            | 830,781           |
| Diluted  | 883,297            | 874,207           |
| (1) Includes stock-based compensation expense, which was allocated as follows: |                    |                   |
| Cost of sales  | \$ 6               | \$ 5              |
| Research and development   | \$ 16              | \$ 15             |
| Selling, general, and administrative   | \$ 24              | \$ 24             |

See accompanying Notes to Condensed Consolidated Financial Statements.

# 시장조사 및 수요예측(Apple)

**UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION**  
Washington, D.C. 20549

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## **FORM 8-K**

**CURRENT REPORT  
PURSUANT TO SECTION 13 OR 15(D) OF THE  
SECURITIES EXCHANGE ACT OF 1934**

Date of Report (Date of earliest event reported): **February 14, 2007**

### **Apple Inc.**

(Exact name of registrant as specified in its charter)

**California**  
(State or other jurisdiction  
of incorporation)

**000-10030**  
(Commission File Number)

**94-2404110**  
(I.R.S. Employer  
Identification Number)

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김 상 도



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