

02-10-1999

FORM PTO-1595

RECORDATION



U.S. DEPARTMENT OF COMMERCE

Rev. 6-93) OMB No 0651-0011 (EXP. 4/94)

PATENT

Patent and Trademark Office

100962510

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copies thereof.

1. Name of conveying party(ies):

Robert W. Crocker, James C. Wang,
Narayan Doddapaneni, and David Ingersoll

Additional name(s) of conveying party(ies) attached? Yes ☐ No ☒

2. Name and address of receiving party(ies)

SANDIA CORPORATION
Patent & Licensing, 11500
P. O. Box 5800, Mail Stop 0161
Albuquerque, State: NM ZIP:87185-0161

3. Nature of conveyance: _____

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other: Assignment & Confirmatory License

Execution Date: 10/16/97, 10/16/97, 10/24/97, 10/31/97, respectively

Additional name(s) & address(es)
attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

08/853,971

B. Patent No.(s)

Filed: 5/9/97

Issued:

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Timothy D. Stanley
Sandia National Laboratories
Internal Address: Patent & Licensing, 11500
Mail Stop 0161
Street Address: P. O. Box 5800

6. Total number of applications and patents involved: one (1)

7. Total fee (37 CFR 3.41) \$40.00

☐ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit Account number: 19-0131

City: Albuquerque State: NM ZIP: 87185-0161

(Attach duplicate copy of this page if paying by account)

02/09/1999 SDBURS 00000134 190131 00853971
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DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Timothy D. Stanley

Signature

Date

Total number of pages including cover sheet, attachments, and document: 10

Mail documents to be recorded with required cover sheet information to:
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Washington, D.C. 20231

PATENT
REEL: 9743 FRAME: 0934

06-26-1998

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U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

To the Honorable Commission
documents or copies thereof.

100748077

Please record the attached original

1. Name of conveying party(ies):

Robert W. Crocker, Narayan Doddapaneni,
David Firsich, David Ingersoll, and James C. Wang

Additional name(s) of conveying party(ies) attached? Yes ☒ No

2. Name and address of receiving party(ies)

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Patent & Licensing, 11500
P. O. Box 5800, Mail Stop 0161
Albuquerque, State: NM ZIP: 87185-0161

3. Nature of conveyance: _____

☒ Assignment

☐ Merger

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☐ Change of Name

☐ Other: Assignment & Confirmatory License

Execution Date: 4/17/98 and 4/27/98

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

08,853,971

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(08/853,971)

B. Patent No.(s)

Filed: 5/9/97

Issued:

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8. Deposit Account number: 19-0131

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9. Statement and signature.

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Timothy D. Stanley

Signature

Date

6/10/98

Total number of pages including cover sheet, attachments, and document: 7

Mail documents to be recorded with required cover sheet information to:
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Washington, D.C. 20231

PATENT
REEL: 9743 FRAME: 0935

October 10, 1997

ASSIGNMENT

WHEREAS, Robert W. Crocker, Narayan Doddapaneni, David Firsich, David Ingersoll and James C. Wang have made an invention relating to Method of Preparation of Carbon Materials for Use as Electrodes in Rechargeable Batteries in the course of the work authorized by Contract DE-AC04-94AL85000 between SANDIA CORPORATION and the UNITED STATES DEPARTMENT OF ENERGY, said invention being disclosed and claimed in an application for United States patent, identified as DOE Docket No: S-82,368 duly executed by said inventors on October 16, 1997, October 24, 1997, and October 31, 1997; and

WHEREAS Inventor(s), in consideration of employment by Sandia Corporation, has(have) agreed, among other things, to assign to Sandia Corporation, its successors and assigns, all rights to inventions, discoveries, or improvements made or conceived in the course of their employment; and

WHEREAS, the Government of the United States, as represented by the U.S. Department of Energy has granted a waiver of Government rights in the above-identified invention to Sandia Corporation under Class Waiver W(C)93-012, effective July 14, 1995; and

THEREFORE, Inventor(s) hereby sells, assigns, and transfers unto Sandia Corporation their entire right, title, and interest in and to said invention and in and to all resulting patents, wherever they may be granted, as well as reissues or extensions of said patents.

Inventor(s) covenants with Sandia Corporation that, except for the rights, if any, of the Government, his/her interest in the rights and property herein conveyed is free and clear of any encumbrance and that they have full right to convey the same as herein expressed. They agree, at the request of Sandia corporation, to make, execute, and deliver to Sandia Corporation, the Government, or other party prosecuting patent applications on this invention, any and all papers, documents, affidavits, applications, statements or other instruments relating to said invention, take all rightful oaths and do all acts as may reasonably be required of them in or incident to the prosecution of any or all applications on said invention or in the adjustment or settlement of any interferences or other actions or proceedings that said applications or patents thereon may encounter or in which they may become involved.

Signed at Livermore, California, this 16th day of October, 1997.

Robert W. Crocker

Robert W. Crocker

James C. Wang

James C. Wang

STATE OF CALIFORNIA)

) ss:

COUNTY OF _____)

See attached

On the _____ day of _____, 1997, personally appeared before me, _____, Notary Public, Robert W. Crocker and James C. Wang to me known to be the individual described in and who executed the foregoing instrument, and who acknowledged to me that he executed the same.

Notary Public

Approved and consented to this 16 day of October, 1997.

SANDIA CORPORATION

Kurt C. Olsen

Kurt C. Olsen

Chief Counsel

California Laboratories

Signed at Albuquerque, New Mexico, this 24 day of October, 1997.

Narayan Doddapaneni

Narayan Doddapaneni

STATE OF NEW MEXICO)

) ss:

COUNTY OF BERNALILLO)

On the 24th day of October, 1997, personally appeared before me, Debra A. Gallegos, Notary Public, Narayan Doddapaneni to me known to be the individual described in and who executed the foregoing instrument, and who acknowledged to me that he executed the same.



OFFICIAL SEAL
DEBRA A. GALLEGOS
NOTARY PUBLIC-STATE OF NEW MEXICO

My commission expires: 7-14-2001

Debra A. Gallegos
Notary Public

Approved and consented to this 18 day of November, 1997.

SANDIA CORPORATION

Kurt C. Olsen

Kurt C. Olsen

Chief Counsel

California Laboratories

Signed at Albuquerque, New Mexico, this 31 day of October, 1997.

David Ingersoll
David Ingersoll

STATE OF NEW MEXICO)
) ss:
COUNTY OF BERNALILLO)

On the 31st day of October, 1997, personally appeared before me, Udella L. Kump, Notary Public, David Ingersoll to me known to be the individual described in and who executed the foregoing instrument, and who acknowledged to me that he executed the same.

Viola Campos

Notary Public

6 12 - 99
Approved and consented to this 10th day of Nov, 1997.

SANDIA CORPORATION

Timothy D. Stanley
Chief Patent Counsel
Patent and Licensing Office, MS 0161

CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of CALIFORNIA

County of ALAMEDA

On October 16, 1997 before me, Andrea C. Caporicci, Notary Public

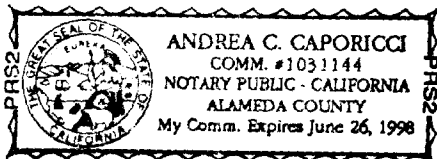
Date

Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared Robert W. Crocker and James C. Wang

Name(s) of Signer(s)

☐ personally known to me - **OR** - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal.

Andrea C. Caporicci
Signature of Notary Public

OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

Description of Attached Document

Title or Type of Document: Assignment

Document Date: 10/10/97 Number of Pages: 2

Signer(s) Other Than Named Above: _____

Capacity(ies) Claimed by Signer(s)

Signer's Name: Robert W. Crocker

Signer's Name: James C. Wang

☒ Individual

☐ Corporate Officer

Title(s): _____

☐ Partner — ☐ Limited ☐ General

☐ Attorney-in-Fact

☐ Trustee

☐ Guardian or Conservator

☐ Other: _____

Signer Is Representing: _____

RIGHT THUMBPRINT
OF SIGNER
Top of thumb here

☒ Individual

☐ Corporate Officer

Title(s): _____

☐ Partner — ☐ Limited ☐ General

☐ Attorney-in-Fact

☐ Trustee

☐ Guardian or Conservator

☐ Other: _____

Signer Is Representing: _____

RIGHT THUMBPRINT
OF SIGNER
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