

10-16-2002



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RECORDATION FORM COVER SHEET
PATENTS ONLY

S-70,253

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

New

Resubmission (Non-Recordation)
Document ID#

Correction of PTO Error
Reel # Frame #

Corrective Document
Reel # Frame #

10-8-02

Conveyance Type

Assignment Security Agreement

License Change of Name

Merger Other

U.S. Government
(For Use ONLY by U.S. Government Agencies)

Departmental File Secret File

Conveying Party(ies)

Mark if additional names of conveying parties attached

Name	Execution Date		
	Month	Day	Year
Name (line 1) REGENTS OF THE UNIVERSITY OF CALIFORNIA	9	4	2002
Name (line 2)			
Second Party			
Name (line 1)			
Name (line 2)			

Receiving Party

Mark if additional names of receiving parties attached

If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 1) U. S. Department of Energy

Name (line 2)

Address (line 1) 1000 Independence Avenue, S.W.

Address (line 2)

Address (line 3) Washington D.C. 20585-0162

City State/Country Zip Code

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

FOR OFFICE USE ONLY

Correspondent Name and Address

Area Code and Telephone Number

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

Pages

Enter the total number of pages of the attached conveyance document including any attachments. #

Application Number(s) or Patent Number(s)

Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text" value="4,997,804"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

If this document is being filed together with a new Patent Application, enter the date the patent application was

Patent Cooperation Treaty (PCT)

Enter PCT application number only if a U.S. Application Number has not been assigned.

PCT <input type="text"/>	PCT <input type="text"/>	PCT <input type="text"/>
PCT <input type="text"/>	PCT <input type="text"/>	PCT <input type="text"/>

Number of Properties

Enter the total number of properties involved. #

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$

Method of Payment: Enclosed Deposit Account

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number: #

Authorization to charge additional fees: Yes No

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. Charges to deposit account are authorized, as indicated herein.

Brenda K. Banks
Name of Person Signing

Brenda K. Banks
Signature

10/07/02
Date

ASSIGNMENT AND CONFIRMATORY LICENSE

07/4/06, 009
now Pat 4,997,804

Title: Low Density Resorcinol-Formaldehyde Aerogels
Inventor(s): Richard W. Pekala
Contract Number: W-7405-ENG-48
Contractor: Regents of the University of California
(Lawrence Livermore National Labora

DOE Docket No.: S-70,253 (RL-10776)
U.S. Patent Application: S.N.: 07/406,009
Filing Date: September 12, 1989
U.S. Patent No.: 4,997,804
Issue Date: March 5, 1991
Class Waiver Number: W(C)1996-004

Foreign patent applications filed or intended to be filed at contractor's expense: None.

The Contractor certifies that a true copy of the provisions which govern patent rights in "subject inventions" under the above-identified contract has been previously submitted to the U.S. Department of Energy by certification dated February 29, 1996.

WHEREAS, the above-identified invention is a subject invention under the above-identified contract;

WHEREAS, the Government of the United States, as represented by the U.S. Department of Energy, has been assigned the entire right, title and interest in and to the above-identified invention in the United States; and

WHEREAS, a waiver of Government rights in the above-identified invention, having an effective date of May 18, 1999 has been granted to the Contractor.

NOW, in conformity with said waiver of Government rights, the Government of the United States as represented by the U.S. Department of Energy, HEREBY ASSIGNS AND TRANSFERS to the Contractor the entire right, title and interest to the above-identified invention, including the above-identified patent applications and any resulting patents, EXCEPT FOR a paid-up license under the above-identified contract and the above-identified waiver and such other rights required under 10 CFR 784 to be retained or reserved to the Government.

ACCORDINGLY, the Contractor hereby confirms that under the provisions the above-identified contract governing patent rights and the above-identified waiver, it has granted to the Government a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States the subject invention throughout the world. This license applies to the above-identified invention, the above-identified patent application(s), and any and all divisions or continuations thereof and any resulting patent or reissue patent which may be granted thereon. This instrument is also confirmatory of the rights required to be granted to the Government under 10 CFR 784 where a waiver is granted to an invention, patent application, and any resulting patent, and of all other rights reserved to the Government under 10 CFR 784.

The Government reserves for itself, and is hereby granted by the Contractor, the irrevocable power to inspect and make copies of the file wrapper(s) of the above-identified U.S. patent application and of any related or continuation patent application(s), whether domestic or foreign, for the above-identified invention.

It is understood and agreed that this instrument does not preclude the Government from asserting rights under the provisions of the above-identified contract or any other agreement between the Government and the Contractor, or any other rights of the Government with respect to the above-identified invention.

Approved and granted on behalf of the Government of the United States.

UNITED STATES DEPARTMENT OF ENERGY

By: Paul A. Gottlieb 10/07/02
Paul A. Gottlieb Date
Assistant General Counsel for Technology
Transfer and Intellectual Property

Witness: Brenda K. Banks

Approved, accepted and consented to on behalf of The Regents of the University of California
Witness: Wendy R. Pebler (Signature)
By: Alan H. Thompson 9/4/02 (Official's Signature) Date

Wendy R. Pebler, Paralegal
(Print/Type Name and Title)

Alan H. Thompson, Deputy Laboratory Counsel for Intellectual Property
(Print/Type Official's Name and Title)