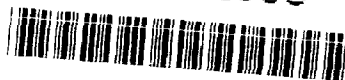


01-30-2003

5-98496
U.S. Department of Commerce
Patent and Trademark Office
PATENT

JAN 21 2003



102351698
RECORDATION UNIT
PATENTS ONLY

HEET

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

Submission Type

1-21-03

- ☒ New
- ☐ Resubmission (Non-Recordation)
Document ID#
- ☐ Correction of PTO Error
Reel # Frame #
- ☐ Corrective Document
Reel # Frame #

Conveyance Type

- ☐ Assignment ☐ Security Agreement
- ☐ License ☐ Change of Name
- ☐ Merger ☒ Other Confirmatory License
- 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 (line 1) California, University of Execution Date
Month Day Year
4/8/02

Second Party

- Name (line 1) Execution Date
Month Day Year
- Name (line 2)

Receiving Party

- ☐ Mark if additional names of receiving parties attached

- Name (line 1) U.S. Department of Energy ☐ 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 2)
- Address (line 1) P. O. Box 808 (L-376)
- Address (line 2)
- Address (line 3) Livermore CA 94550
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

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB

Mail documents to be recorded with required cover sheet(s) information to:
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

PATENT
REEL: 013696 FRAME: 0761

Correspondent Name and Address

Area Code and Telephone Number

(925) 422-4367

Name William C. Daubenspeck

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

Address (line 2) Lawrence Livermore National Laboratory

Address (line 3) P. O. Box 808 (MS L-376)

Address (line 4) Livermore, CA 94550

Pages

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

1

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)

09/721,126

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

Month Day Year

Patent Cooperation Treaty (PCT)

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

PCT PCT PCT
PCT PCT PCT

Number of Properties

Enter the total number of properties involved.

1

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$ 0.00

Method of Payment:

Enclosed ☐ Deposit Account ☐

Deposit Account

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

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.

Janet L. Rego

Name of Person Signing

Janet L. Rego
Signature

1-14-2003
Date

CONFIRMATORY LICENSE

**Title: A Process of Making Surfactant Capped
Metal Oxide Nanocrystals, and
Products Produced by the Process**

**DOE Docket No.: S-98,496
U.S. Patent Application: S.N.: 09/721,126
Filing Date: November 22, 2000**

**Inventor(s): A. Paul Alivisatos et al.
Contractor Docket No.: IB-1576A
Contract Number: DE-AC03-76SF00098
Contractor: Regents of the University of
California**

Foreign patent applications filed or intended to be filed at contractor's expense in (countries):

The Contractor certifies that a true copy of the provisions which govern patent rights in "subject inventions" under the above-identified contract is herewith submitted or has been submitted to the U.S. Department of Energy by certification dated April 2, 1999.

WHEREAS, the above-identified contract provides the Contractor with the right to elect to retain title in certain inventions and the Contractor has reported the above-identified invention as a subject invention under the contract, has elected to retain title therein, and has agreed to file a domestic patent application thereon, if not previously filed.

ACCORDINGLY, the Contractor hereby confirms that under the provisions of the above-identified contract governing patent rights, 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.

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.

Signed on behalf of: University of California, Lawrence Berkeley National Laboratory
(Contractor)

Witness:

Sharon Kay Reineman
(Signature)

By:

David J. Aston 4.8.02
(Contractor Official's Signature) (Date)

Sharon Kay Reineman, Patent Asst.
(Name and Title)

David J. Aston, Chief Patent Counsel
(Print/Type Contractor Official's Name and Title)

Patent Department
(Print/Type Contractor's Address)
Lawrence Berkeley Laboratory
One Cyclotron Road
MS 90-1121 B
Berkeley, CA 94720