

Form PTO-1595  
(Rev. 10/02)

OMB No. 0651-0027 (exp. 6/30/2005)

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## RECORDATION FORM COVER SHEET

## PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

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

## 1. Name of conveying party(ies):

Oak Ridge Associated Universities

## 2. Name and address of receiving party(ies)

Name: UT-Battelle, LLC

Internal Address: P.O. Box 2008

MS 6498

Street Address: One Bethel Valley Road

City: Oak Ridge State: TN Zip: 37831-6258

Additional name(s) & address(es) attached? ☐ Yes ☒ NoAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☒ Other Correction of Document ID  
Number 102574904

Execution Date: 9/29/2003

## 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) 10/673,715

B. Patent No.(s) \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

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

Name: James M. Spicer

Internal Address: P.O. Box 2008

MS-6258

Street Address: One Bethel Valley Road

City: Oak Ridge State: TN Zip: 37831-6258

6. Total number of applications and patents involved: 1 ☐

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

☐ Enclosed☒ Authorized to be charged to deposit account

## 8. Deposit account number:

13-1958

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## 9. Signature.

James M. Spicer

Name of Person Signing

  
Signature

June 23, 2004

Date

Total number of pages including cover sheet, attachments, and documents: 4 ☐

Mail documents to be recorded with required cover sheet information to:

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PATENT  
REEL: 014801 FRAME: 0822

22306 U.S. PTO  
10/673715Form PTO-1595  
(Rev. 10/02) 9.29.03 RE  
OMB No. 0651-0027 (exp. 6/30/2005)  
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10-15-2003



102574904

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

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1. Name of conveying party(ies):  
Oak Ridge Associated Universities

2. Name and address of receiving party(ies)

Name: UT-Battelle, LLC

Internal Address: P O Box 2008

MS 6498

Street Address: 111B Union Valley Road

City: Oak Ridge State: TN Zip: 37831

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

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other

Execution Date: 9/29/03

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

4. Application number(s) or patent number(s): 10/673715

If this document is being filed together with a new application, the execution date of the application is: 9/19/2003

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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Name: James M. Spicer

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MS 6498

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James M. Spicer

Name of Person Signing

James M. Spicer  
SignatureSeptember 29, 2003  
Date

Total number of pages including cover sheet, attachments, and documents: 4

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Documents to be recorded with required cover sheet information to:  
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REEL: 014801 FRAME: 0823

Assignment Agreement  
ORAU to UT-Battelle, LLC

UT-B Docket No. 1213.0

**ASSIGNMENT AGREEMENT BETWEEN  
UT-BATTELLE, LLC AND ORAU**

THIS AGREEMENT is by and between UT-Battelle, LLC a limited liability company organized and existing under the laws of the State of Tennessee (hereinafter "UT-BATTELLE") in accordance with its prime contract No. DE-AC05-00OR22725 (hereinafter "UT-Battelle's Prime Contract") with the U.S. Department of Energy (hereinafter DOE) and Oak Ridge Associated Universities (hereinafter "ORAU"), the not-for-profit operating contractor of the DOE's Oak Ridge Institute for Science and Education (hereinafter "ORISE") under its prime contract No. DE-AC05-00OR22750 (hereinafter "ORAU's Prime Contract") with the DOE, both being hereinafter jointly referred to as the "Parties" and singularly as a "Party."

**WHEREAS:**

- A. The Parties have developed technology identified in the invention disclosures, patent applications, and/or patents listed in Exhibit A (hereinafter Proprietary Rights); and  
B. The Parties desire that ORAU assign its undivided right, title, and interest to the Proprietary Rights to UT-BATTELLE to place ownership of all Proprietary Rights in a single Party, thereby promoting effective and successful commercialization of Proprietary Rights.

**NOW THEREFORE THE PARTIES AGREE AS FOLLOWS:**

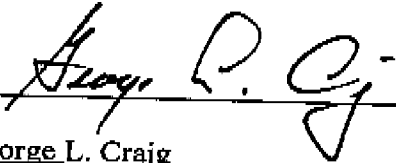
1. In consideration of good and valuable consideration--including, but not limited to the promises contained in the Memorandum of Agreement between UT-BATTELLE and ORAU that was made effective September 28, 2001--the receipt and sufficiency of such consideration being hereby acknowledged, ORAU by these presents does hereby sell, assign, transfer and set over unto UT-BATTELLE, its successors, legal representatives and assigns, its entire right, title, and interest (if any) in, to, and under the Proprietary Rights.
2. UT-BATTELLE shall share with ORAU portions of royalties UT-BATTELLE receives from licensees, if any, of the Proprietary Rights in accordance with the aforesaid Memorandum of Agreement.
3. UT-BATTELLE shall obligate any licensees of the Proprietary Rights to indemnify ORAU for any liability arising from the making, using, importing or selling of a product, process or service by or on behalf of the Licensee, its assignees or licensees which was derived from the Proprietary Rights, except for any negligent acts or omissions of ORAU.
4. UT-BATTELLE shall obligate any licensees of the Proprietary Rights as listed in Exhibit A to comply with all U. S. export control laws and regulations applicable to the export of the Proprietary Rights.
5. ORAU makes no warranties or representations of any kind regarding the Proprietary Rights.
6. The effective date of this agreement is 9/29/03 and it shall run to and terminate upon the end of the life of the last-to-expire Proprietary Rights of Exhibit A.

Assignment Agreement  
ORAU to UT-Battelle, LLC

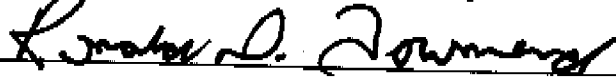
UT-B Docket No. 1213.0

In witness whereof the Parties have executed this agreement below:

UT-BATTELLE, LLC

By:   
Name: George L. Craig  
Title: General Patent Counsel  
Date: 09-26-03

OAK RIDGE ASSOCIATED UNIVERSITIES

By:   
Name: Ronald D. Townsend  
Title: President  
Date: 9/29/03

Assignment Agreement  
ORAU to UT-Battelle, LLC

UT-B Docket No. 1213.0

**EXHIBIT A. PROPRIETARY RIGHTS**

UT-B Docket No.	Title (Patent Appl. No., Patent No.)	Contract Type & No.	Inventors		
			UT-Battelle	ORAU	Others
1213.0	Beam Profile Monitor with Accurate Horizontal and Vertical Beam Profiles	B&R#34053251	Charles C.Havener	Riad Al-Rejoub	