

12-24-2003

Form PTO-1595
(Rev. 10/02)
(exp. 5/31/2002)

RECORDATION FORM

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

1. Name of conveying party(ies):

Gui-Jia Su

12.12.03

2. Name and address of receiving party(ies)

Name: UT-Battelle LLC

Internal Address: _____

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

3. Nature of conveyance:



Assignment



Merger



Security Agreement



Change of Name



Other _____

Street Address: Oak Ridge National Laboratory

Post Office Box 2008

City: Oak Ridge State: TN Zip: 37831

Execution Date: December 9, 2003

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: 12/09/03

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Michael J. McGovern

Internal Address: _____

Street Address: QUARLES & BRADY LLP

411 E. Wisconsin Avenue

City: Milwaukee State: WI Zip: 53202

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: 17-0055

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9. Statement and signature.

Michael J. McGovern

Name of Person Signing

Signature

December 12, 2003

Date

Total number of pages including cover sheet, attachments, and documents: 3

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

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PATENT
REEL: 014809 FRAME: 0813

ASSIGNMENT

WHEREAS, I, the below-named inventor whose residence and post office are as stated below, have invented certain new and useful improvements in a

MULTI-LEVEL DC BUS INVERTER

for which an application for United States Letters Patent was executed by me on even date herewith, and

WHEREAS, UT-Battelle LLC, a limited liability company organized and existing under the laws of the State of Tennessee, having an office at Oak Ridge National Laboratory, Post Office Box 2008, Oak Ridge, Tennessee 37831-6498, hereinafter called the ASSIGNEE, is desirous of acquiring the entire right, title and interest in the application and invention and to any Letters Patent that may be granted therefor in the United States of America and in any and all foreign countries.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, I hereby assign to ASSIGNEE the entire right, title and interest in the application and the invention, to all rights of priority thereto pursuant to the International Convention for the Protection of Industrial Property, and in any Letters Patent on the invention that may be granted in the United States of America and in any and all foreign countries, including any and all Letters Patent that are divisions, reissues, continuations, substitutions or extensions of any Letters Patent or applications therefor on the invention.

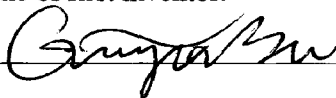
I hereby authorize and request the Director of the United States Patent and Trademark Office and the officials of any and all foreign countries to issue any and all of said Letters Patent, when granted, to the ASSIGNEE.

Further, I hereby agree to communicate to said ASSIGNEE or its representatives any facts known to me respecting said invention, to testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, substitution, renewal and reissue applications, to execute all necessary assignment papers to cause any and all of said Letters Patent to be issued to said ASSIGNEE, and to make all rightful oaths and generally do everything possible to aid said ASSIGNEE and its representatives to obtain and enforce proper protection for said invention in the United States of America and in any and all foreign countries.

I further agree that the terms, covenants and conditions of this assignment shall inure to the benefit of ASSIGNEE, its successors, assigns, and legal representatives, and shall be binding on me, my heirs, legal representatives, and assigns.

Full name of first inventor: **Gui-Jia Su**

Signature: _____



Residence: _____

Oak Ridge, TN

Post Office Address: _____

350 Elmore Ln, Knoxville, TN 37922

State of Tennessee)

County of Anderson)

On this 9th day of December, 2003, before me, a Notary Public in and for the County and State aforesaid, appeared Gui-Jia Su to me personally known to be the same person whose name is subscribed to the foregoing instrument, and acknowledged that he executed said instrument as his free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the day and year last above given.

Kirk A. Wilson

Notary Public

SEAL

My Commission Expires:

**MY COMMISSION EXPIRES
MARCH 30, 2005**