

Form PTO-1595 (Rev. 06/04)  
OMB No. 0651-0027 (exp. 6/30/2005)

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

### RECORDATION FORM COVER SHEET PATENTS ONLY

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

**1. Name of conveying party(ies)/Execution Date(s):**  
 Michael Z. Hu  
 Execution Date(s) 8-6-2004  
 Additional name(s) of conveying party(ies) attached?  Yes  No

**2. Name and address of receiving party(ies)**  
 Name: UT-Battelle, LLC  
 Internal Address: P.O. Box 2008  
Bldg. 4500N; MS-6258  
 Street Address: One Bethel Valley Road  
 City: Oak Ridge  
 State: Tennessee  
 Country: USA Zip: 37831-6258  
 Additional name(s) & address(es) attached?  Yes  No

**3. Nature of conveyance:**  
 Assignment  Merger  
 Security Agreement  Change of Name  
 Government Interest Assignment  
 Executive Order 9424, Confirmatory License  
 Other

**4. Application or patent number(s):**  This document is being filed together with a new application.  
 A. Patent Application No.(s)  
10/913,896  
 B. Patent No.(s)  
 Additional numbers attached?  Yes  No

**5. Name and address to whom correspondence concerning document should be mailed:**  
 Name: Shelley L. Stafford  
 Internal Address: P.O. Box 2008  
Bldg. 4500N; MS-6258  
 Street Address: One Bethel Valley Road  
 City: Oak Ridge  
 State: Tennessee Zip: 37831-6258  
 Phone Number: 865.576.7561  
 Fax Number: 865.574.0381  
 Email Address: staffordsl@ornl.gov

**6. Total number of applications and patents involved:** 1  
**7. Total fee (37 CFR 1.21(h) & 3.41) \$ 40.00**  
 Authorized to be charged by credit card  
 Authorized to be charged to deposit account  
 Enclosed  
 None required (government interest not affecting title)

**8. Payment Information**  
 a. Credit Card Last 4 Numbers \_\_\_\_\_  
 Expiration Date \_\_\_\_\_  
 b. Deposit Account Number 13-1958  
 Authorized User Name George L. Craig

**9. Signature:** Shelley L. Stafford September 8, 2004  
 Signature Date  
 Shelley L. Stafford  
 Name of Person Signing  
 Total number of pages including cover sheet, attachments, and documents: 3

Documents to be recorded (including cover sheet) should be faxed to (703) 306-5995, or mailed to:  
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

CH \$40.00 131958 10913896

## ASSIGNMENT

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

### METHOD FOR FABRICATING HAFNIA FILMS

(hereinafter referred to as "Subject Invention") 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 of the State of Tennessee, having an office at 111-B Union Valley Road, P.O. Box 2008, Oak Ridge, Tennessee 37831-6498 (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the right, title, and interest of the undersigned in the Subject Invention and to any Letters Patent that may be granted therefore in the United States of America and in any and all foreign countries.

NOW, THEREFORE, in accordance with the terms of my employment agreement with ASSIGNEE and for good and valuable consideration, the receipt of which is hereby acknowledged, I hereby assign to ASSIGNEE my entire right, title, and interest in the Subject 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 Subject 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 therefore on the Subject Invention.

I hereby authorize and request the Commissioner 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 Subject 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 Subject 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: Michael Z. Hu

Inventor's Signature: [Handwritten Signature]

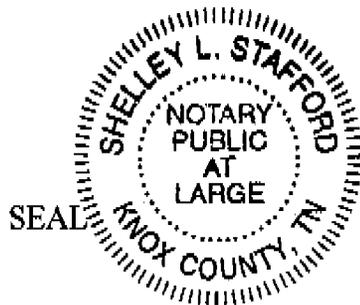
Date: 8/16/04

Address: 9430 Hoyle Beals Drive, Knoxville, Tennessee 37931

State of Tennessee )  
County of Anderson )

On this 6<sup>th</sup> day of August, 2004, before me, a Notary Public in and for the County and State aforesaid, appeared Michael Z. Hu, 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.



[Handwritten Signature]  
Notary Public

My Commission Expires: Sept. 12, 2004