

Form PTO-1595 (Rev. 07/05)
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JP	RECORDATION FORM COVER SHEET PATENTS ONLY	S-110,377
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1. Name of conveying party(ies) CATERPILLAR, INC. Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	2. Name and address of receiving party(ies) Name: <u>United States Department of Energy</u> Internal Address: _____ Street Address: <u>1000 Independence Ave., S.W.</u> City: <u>Washington</u> State: <u>D.C.</u> Country: <u>USA</u> Zip: <u>20585</u> Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
3. Nature of conveyance/Execution Date(s): Execution Date(s) <u>11/29/2006</u> <input type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Joint Research Agreement <input type="checkbox"/> Government Interest Assignment <input checked="" type="checkbox"/> Executive Order 9424, Confirmatory License <input type="checkbox"/> Other _____	4. Application or patent number(s): <input type="checkbox"/> This document is being filed together with a new application. A. Patent Application No.(s) <u>11/529,514</u> B. Patent No.(s) _____ Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
5. Name and address to whom correspondence concerning document should be mailed: Name: <u>Mark P. Dvorscak</u> Internal Address: <u>U. S. Dept. of Energy, IPLD</u> Street Address: <u>9800 S. Cass Ave</u> City: <u>Argonne</u> State: <u>IL</u> Zip: <u>60439</u> Phone Number: <u>630-252-2393</u> Fax Number: <u>630-252-2779</u> Email Address: _____	6. Total number of applications and patents involved: <u>1</u> 7. Total fee (37 CFR 1.21(h) & 3.41) \$ _____ <input type="checkbox"/> Authorized to be charged by credit card <input type="checkbox"/> Authorized to be charged to deposit account <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> None required (government interest not affecting title)	
8. Payment Information a. Credit Card Last 4 Numbers _____ Expiration Date _____ b. Deposit Account Number _____ Authorized User Name _____		
9. Signature: <u>Michael J. Dobbs</u> <u>11/16/07</u> <div style="display: flex; justify-content: space-between;"> Signature Date </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> Michael J. Dobbs #58,093 Name of Person Signing <div style="text-align: right;"> Total number of pages including cover sheet, attachments, and documents: 2 </div> </div>		

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CONFIRMATORY LICENSE
(Large Business - Advance Waiver)

Title: Auxiliary Power Unit for Moving a Vehicle

Inventor(s): Sivaprasad Akasam, Kris W. Johnson, Matthew D. Johnson,
Larry M Slone, and James Milton Welter

Serial No: 11/529,514 Filing Date (U.S.): September 29, 2006

Contractor: Caterpillar, Inc.

DOE Contract No.: DE-FC26-04NT42189

DOE Case No.: S-110,377

Patent Rights Clause No.:

DOE Advance Waiver No.:

Foreign Applications filed in or intended to be filed at Contractor's expense in (countries):
To be determined at a later date.

An advance waiver of Government rights having been granted by the U. S. Department of Energy (DOE) to the Contractor, and the above-identified invention having been reported as a Subject Invention to DOE by the Contractor with its election to file a domestic patent application thereon, the effective date of said waiver for the above invention is April 4, 2006.

Accordingly, this document is confirmatory of the paid-up license required to be granted to the Government under 10 CFR 784 and the above-identified contract in this invention, patent application and any resulting patent and of all other rights acquired by the Government by the referenced patent rights clause, a copy of which is attached hereto and incorporated by reference herein. The undersigned certifies the attached copy to be a true copy of said clause. It is understood and agreed that this license does not preclude the Government from asserting rights under the provisions of said contract or of any other agreement between the Government and the Contractor, or any other rights of the Government with respect to the above-identified invention.

The Government is hereby granted an irrevocable power to inspect and make copies of the above-identified patent application.

Signed this 29th day of November, 2006

Caterpillar Inc.
(Contractor)

By 
James B. Buda, Vice President

Seal

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