

Form PTO-1595 (Rev. 07/05)
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CAB

**RECORDATION FORM COVER SHEET
PATENTS ONLY**

S-105,387

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)

Northern Power Systems, Inc.

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

3. Nature of conveyance/Execution Date(s):

Execution Date(s) March 25, 2007

- ☐ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Joint Research Agreement
☐ Government Interest Assignment
☒ Executive Order 9424, Confirmatory License
☐ Other

2. Name and address of receiving party(ies)

Name: United States Department of Energy

Internal Address: _____

Street Address: 1000 Independence Ave. S.W.

City: Washington

State: D.C.

Country: USA Zip: 20585

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

4. Application or patent number(s):

A. Patent Application No.(s)

Serial No. 10/858,551

☐ This document is being filed together with a new application.
B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Mark P. Dvorscak

Internal Address: U. S. Dept. of Energy, IPLD

Street Address: 9800 S. Cass Ave

City: Argonne

State: IL Zip: 60439

Phone Number: 630-252-2393

Fax Number: 630-252-2779

Email Address: _____

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 1.21(h) & 3.41) \$ _____

- ☐ 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 _____
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9. Signature:

Michael J. Dobbs #58,093
Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and documents: **2**

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

04-015.7

CONFIRMATORY LICENSE

(Small Business Firm)

Title : **Wind Turbine Having A Direct-Drive Drivetrain**

Inventor(s) : **Christopher M. Bevington, Garrett L. Bywaters, Clint C. Coleman,
Daniel P. Costin, William L. Danforth, Jonathan A. Lynch,
Robert H. Rolland**

Application Type : **Non Provisional**

Serial No. : **10/858,551** Filing Date: **06/01/2004**

Contractor : **Northern Power Systems, Inc.**

Prime Contract No. : **DE-AC36-98GO10337**

SubContract (if applicable) : **YCX-1-30209-02**

Disclosure No. : **04-015.1**

DOE Case No. : **DOE CASE#S-105,387**

Patent Rights Clause No.: **FAR 52.227-11**

Foreign Applications filed in or intended to be filed at Contractor's expense in (countries):

The contractor, having the right to retain title to Subject Inventions as a result of Public Law 96-517, has reported the above-identified invention as a Subject Invention to DOE with its election to retain title thereto.

Accordingly, this document is confirmatory of the nonexclusive, nontransferable, irrevocable, paid-up, worldwide, license to practice or to have practiced for or on behalf of the United States, required by the Public Law and the above-identified contract, in this subject invention, patent application and any resulting patent, as well as any continuation, divisional, reissue, supplemental or continuation-in-part thereof, throughout the world and of all other rights acquired by the Government by the above-identified patent rights clause, a copy of which is attaché 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 from asserting any other rights of the Government with respect to the above-identified subject invention.

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

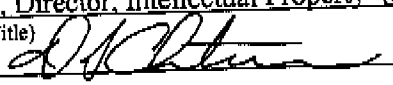
Signed this 25th day of March, 2007

Northern Power Systems, Inc.

(Contractor)

Dave S. Christensen, Director, Intellectual Property (203)678-2122

(Contractor's Official and Title)

X 
(Signature)

10 Technology Drive, Wallingford, CT 0649
(Business Address)

PATENT

RECORDED: 04/12/2007

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** TOTAL PAGES: 02 **