U.S. DEPARTMENT OF COMMERCE Form PTO-1595 (Rev. 07/05) United States Patent and Trademark Office OMB No. 0651-0027 (exp. 6/30/2008) RECORDATION FORM COVER SHEET S-110850 JP PATENTS ONLY To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below. 2. Name and address of receiving party(ies) 1. Name of conveying party(ies) Name: United States Department of Energy CATERPILLAR, INC. Internal Address: Additional name(s) of conveying party(ies) attached? 🔲 Yes 🗹 No 3. Nature of conveyance/Execution Date(s): Street Address: 1000 Independence Ave., S.W Execution Date(s) 03/14/2007 Assignment Merger City: Washington Security Agreement Change of Name \_\_\_ Joint Research Agreement State: D.C. Government Interest Assignment Country: USA Zip: 20585 Executive Order 9424, Confirmatory License Additional name(s) & address(es) attached? ☐ Yes ☑ No 4. Application or patent number(s): This document is being filed together with a new application. A. Patent Application No.(s) B. Patent No.(s) 11/640,740 Additional numbers attached? Yes ✓ No 6. Total number of applications and patents 5. Name and address to whom correspondence concerning document should be mailed: involved: 1 Mark P. Dvorscak Name: 7. Total fee (37 CFR 1.21(h) & 3.41) \$\_\_\_\_ Internal Address: U. S. Dept. of Energy, IPLD Authorized to be charged by credit card Authorized to be charged to deposit account Enclosed Street Address: 9800 S. Cass Ave ✓ None required (government interest not affecting title) 8. Payment Information City: Argonne a. Credit Card Last 4 Numbers State: <u>| L Zip:60439</u> Expiration Date Phone Number: 630-252-2393 b. Deposit Account Number \_\_\_\_\_ Fax Number: 630-252-2779 Authorized User Name Email Address: 9. Signature: Signature Michael J. Dobbs #58,093 Total number of pages including cover sheet, attachments, and documents: Name of Person Signing

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

PATENT REEL: 019229 FRAME: 0770

## CONFIRMATORY LICENSE

(Advanced Waiver of Patent Rights)

Title

ELECTRICAL SHORTING SYSTEM

Inventor(s)

Christopher D. Hickam

Serial No.

11/640,740

Filing Date:

12-18-2006

Subcontractor

Caterpillar Inc.

**DOE Contract No.:** 

DE-FC26-04NT42258

DOE Case No.

5-110.850

Docket No.:

06 - 739

DOE Advanced Class Waiver No.: W(A)-04-071

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

An advanced 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 February 28, 2005.

Accordingly, this document is confirmatory of the paid-up license required to be granted to the Government under 10 CFR Part 784 and the above-identified contract in this invention, patent application and any resulting patent as well as any continuation, divisional, reissue, supplemental or continuation-in-part thereof, and of all 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 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.

14th day of March

(SEAL)

RECORDED: 04/30/2007

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(Contractor)

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> PATENT REEL: 019229\*FRAME-0771 \*\*