

Form PTO-1595 (Rev. 03-09)  
OMB No. 0651-0027 (exp. 03/31/2009)

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)

Shawn M. Dirk and Kirsten N. Clotte

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

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

Execution Date(s) 1/14/2000

- ☒ 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: SANDIA CORPORATION

Internal Address: P.O. Box 5800 - MS0161

Albuquerque, New Mexico 87185-0161

Street Address: 1515 Eubank SE

City: Albuquerque

State: New Mexico

Country: USA Zip: 87123-0161

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

### 4. Application or patent number(s):

A. Patent Application No.(s)

12/684,231 Filed 1/8/2010

☐ 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: Kerry Kampschmidt

Internal Address: Sandia National Laboratories

Intellectual Property Center, 11500

Street Address: P.O. Box 5800

City: Albuquerque

State: New Mexico Zip: 87185-0161

Phone Number: 505-284-9280

Fax Number: 505-844-1418

Email Address: kkamps@sandia.gov

### 6. Total number of applications and patents involved: 1

### 7. Total fee (37 CFR 1.21(h) & 3.41) \$540.00

- ☒ Authorized to be charged to deposit account  
☐ Enclosed  
☐ None required (government interest not affecting title)

### 8. Payment Information

Deposit Account Number 19-0131

Authorized User Name Kerry Kampschmidt

### 9. Signature:

Signature

Date

Kerry Kampschmidt  
Name of Person Signing

Total number of pages including cover sheet, attachments, and documents: 5

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

CH \$40.00 190131 12684231

SD11298S116193

January 2010

## ASSIGNMENT

WHEREAS Shawn M. Dirk and Kirsten N. Cicotte of Albuquerque; has(have) made an invention relating to **Functionalized Lignin, Rubber Containing Functionalized Lignin and Products Containing Such Rubber Composition** in the course of the work authorized by Contract DE-AC04-94AL85000 between SANDIA CORPORATION and the UNITED STATES DEPARTMENT OF ENERGY, said invention being disclosed and claimed in an application for United States patent, identified as DOE Docket No: S-116,193 duly executed by said inventor(s); and

WHEREAS, the Government of the United States, as represented by the U.S. Department of Energy has granted a waiver of Government rights in the above-identified invention to Sandia Corporation; and

WHEREAS, Kirsten N. Cicotte, being Inventor(s) of said invention and employee(s) of Goodyear at the time said invention was made, the Parties signing below, in consideration of *pro rata* share to be taken from twenty percent (20%) of royalties obtained by Sandia Corporation in any future licensing of said invention and to be paid annually to Goodyear for distribution to the above Goodyear Inventor(s) as Goodyear sees fit, and with said pro rata share further being limited to a maximum of \$150,000 annually per Goodyear Inventor, have agreed, among other things, to assign to Sandia Corporation its successors and assigns, their entire right, title, and interest, if any, in and to said invention and in and to all resulting patents, wherever they may be granted, as well as reissues or extensions of said patents.

The above-named Goodyear Inventor(s) further agree, at the request of Sandia Corporation, to make, execute and deliver to Sandia Corporation, the Government, or other party prosecuting patent applications on this invention, any and all papers, documents, affidavits, applications, statements or other instruments relating to said invention, take all rightful oaths and do all act as may reasonably be required of them in or incident to the prosecution of any or all applications on said invention or in the adjustment or settlement of any interferences or other actions or proceedings that said applications or patents thereon may encounter or in which they may be involved.

PATENT

REEL: 023951 FRAME: 0671



SD11298/S116193

January 2010

## ASSIGNMENT

WHEREAS, **Shawn M. Dirk** of **Albuquerque, New Mexico** has(have) made an invention relating to **Functionalized Lignin, Functionalized Lignin, Rubber Containing Functionalized Lignin and Products Containing Such Rubber Composition** in the course of the work authorized by Contract DE-AC04-94AL85000 between SANDIA CORPORATION and the UNITED STATES DEPARTMENT OF ENERGY, said invention being disclosed and claimed in an application for United States patent, identified as DOE Docket No: **S-116,193** duly executed by said inventors and

WHEREAS Inventor(s), in consideration of employment by Sandia Corporation, has(have) agreed, among other things, to assign to Sandia Corporation, its successors and assigns, all rights to inventions, discoveries, or improvements made or conceived in the course of their employment; and

WHEREAS, the Government of the United States, as represented by the U.S. Department of Energy has granted a waiver of Government rights in the above-identified invention to Sandia Corporation; and

THEREFORE, Inventor(s) hereby sells, assigns, and transfers unto Sandia Corporation their entire right, title, and interest in and to said invention and in and to all resulting patents, wherever they may be granted, as well as reissues or extensions of said patents.

Inventor(s) covenants with Sandia Corporation that, except for the rights, if any, of the Government, his/her interest in the rights and property herein conveyed is free and clear of any encumbrance and that they have full right to convey the same as herein expressed. They agree, at the request of Sandia corporation, to make, execute, and deliver to Sandia Corporation, the Government, or other party prosecuting patent applications on this invention, any and all papers, documents, affidavits, applications, statements or other instruments relating to said invention, take all rightful oaths and do all acts as may reasonably be required of them in or incident to the prosecution of any or all applications on said invention or in the adjustment or settlement of any interferences or other actions or proceedings that said applications or patents thereon may encounter or in which they may become involved.

PATENT

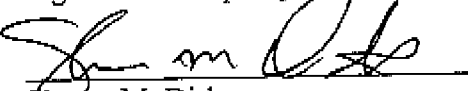
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SD11298/S116193

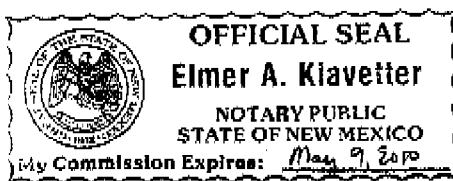
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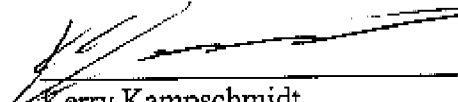
Signed at Albuquerque, New Mexico.

  
Shawn M. Dirk1/14/2010  
DateSTATE OF NEW MEXICO )  
) ss:  
COUNTY OF BERNALILLO)

On above dates, personally appeared before me, Notary Public, **Shawn M. Dirk**, to me known to be the individual(s) described in and who executed the foregoing instrument, and who acknowledged to me that he executed the same.

  
Notary PublicApproved and consented to this 8 day of February, 2010.

SANDIA CORPORATION

  
Kerry Kampschmidt  
Chief IP Counsel  
Legal Technology Transfer Center