

Form PTO-1595 (Rev. 03-11)
OMB No. 0651-0027 (exp. 03/31/2015)

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):

Neil L. Sbar (09/15/2011) and Harvey Kalweit
(09/15/2011)

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

2. Name and address of receiving party(ies)

Name: SAGE Electrochromics, Inc.

Internal Address: _____

Street Address: _____

One Sage Way

City: Faribault

State: Minnesota

Country: United States of America Zip: 55021

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

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

Execution Date(s): In parentheses after Inventor name

☒ Assignment ☐ Merger ☐ Change of Name

☐ Security Agreement ☐ Joint Research Agreement

☐ Government Interest Assignment

☐ Executive Order 9424, Confirmatory License

☐ Other _____

4. Application or patent number(s):

A. Patent Application No.(s)

This application 13/537,574

☐ 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: Davy E. Zonerach
LERNER, DAVID, LITTENBERG,
KRUMHOLZ & MENTLIK, LLP

Internal Address: Atty. Dkt.: SAGE 3.0-027 DIV

Street Address: 600 South Avenue West

City: Westfield

State: NJ Zip: 07090

Phone Number: 908-654-5000

Fax Number: 908-654-7866

Email Address: ataylor@ldlkm.com

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 to deposit account

☐ Enclosed


☐ None required (government interest not affecting title)

8. Payment information

Deposit Account Number 12-1095

Authorized User Name Davy E. Zonerach

9. Signature:



Signature
Davy E. Zonerach - 37,267
Name of Person Signing

June 29, 2012

Date

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

3

CH \$40.00 121095 13537574

former PTO/SB/15 (8-00) Modified LDLKM

ASSIGNMENT OF UTILITY APPLICATION	Docket Number (Optional) SAGE 3.0-027
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Whereas, I, Neil L. Sbar of
916 Aldrich Drive; Northfield, Minnesota 55057
 hereafter referred to as assignor, have with others invented certain new and useful improvements in
APPARATUS AND METHOD FOR REPAIR OF DEFECTS IN AN ELECTRONIC ENERGY CONTROL OR DISPLAY DEVICE
☒ for which an application for a United States Letters Patent was filed on May 27, 2011
 Application Number 13/117,439
☐ for which an application for a United States Letters Patent was executed by me on _____
 and _____

Whereas, SAGE Electrochromics, Inc.
 a corporation of New Jersey herein referred to as "assignee" whose mailing address is
One Sage Way; Faribault, Minnesota 55021
 is desirous of acquiring the entire right, title and interest in the same;

NOW, THEREFORE, in consideration of the sum of one dollars (\$ 1.00), the receipt whereof is acknowledged, and other good and valuable consideration, I as assignor hereby sell, assign and set over to said assignee my entire right, title and interest for the United States of America and all other countries in and to said invention and the aforesaid utility patent application and all original, divisional, continuation, continuation-in-part, substitute or reissue applications and patents applied for or granted therefor in the United States of America and all other countries, for said invention, including without limitation all applications and patents for said invention claiming priority or benefit of the aforesaid utility application pursuant to any law or treaty, and including the right to claim such priority or benefit and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all patents on said improvements or resulting therefrom to said assignee herein, as assignee of the entire interest therein; and the undersigned for me and my legal representatives, heirs and assigns do hereby agree and covenant without further remuneration, to execute and deliver all original, divisional, continuation, reissue and other applications for Letters Patent on said improvements and all assignments thereof to said assignee or its assigns, to communicate to said assignee or its representatives all facts known to the undersigned respecting said improvements, whenever requested, to testify in any interferences or other legal proceedings in which any of said applications or patents may become involved, to sign all lawful papers, make all rightful oaths, and to do generally everything necessary to aid assignee, its successors, assigns and nominees to obtain patent protection for said improvements in all countries, the expenses incident to said applications to be borne and paid by said assignee.


And I do hereby authorize my attorneys to insert on this deed the filing date and application number of said application when known.

9/15/2011 (Date) Neil L. Sbar (Signature)

State of Minnesota) SS:
 County of Rice)

On this 15th day of September, 2011 before me personally came the above-named Neil L. Sbar, to me personally known as the individual who executed the foregoing instrument, who acknowledged to me that the same was executed by him/her of his/her own free will for the purposes therein set forth.

Katharine M. Riewe
 (Notary Public)


 KATHARINE M. RIEWE
 Notary Public
 State of Minnesota
 My Commission Expires
 January 31, 2015

☒ *Total of 2 forms are submitted.

LD-528\

former PTO/SB/15 (8-00) Modified LDLKM

ASSIGNMENT OF UTILITY APPLICATION	Docket Number (Optional) SAGE 3.0-027
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Whereas, I, Harvey Kalweit of One Sage Way, Faribault, Minnesota 55021 hereafter referred to as assignor, have with others invented certain new and useful improvements in **APPARATUS AND METHOD FOR REPAIR OF DEFECTS IN AN ELECTRONIC ENERGY CONTROL OR DISPLAY DEVICE**

☒ for which an application for a United States Letters Patent was filed on May 27, 2011
Application Number 13/117,439

☐ for which an application for a United States Letters Patent was executed by me on _____ and _____

Whereas, SAGE Electrochromics, Inc. a corporation of New Jersey herein referred to as "assignee" whose mailing address is One Sage Way, Faribault, Minnesota 55021 is desirous of acquiring the entire right, title and interest in the same;

NOW, THEREFORE, in consideration of the sum of one dollars (\$ 1.00), the receipt whereof is acknowledged, and other good and valuable consideration, I as assignor hereby sell, assign and set over to said assignee my entire right, title and interest for the United States of America and all other countries in and to said invention and the aforesaid utility patent application and all original, divisional, continuation, continuation-in-part, substitute or reissue applications and patents applied for or granted therefor in the United States of America and all other countries, for said invention, including without limitation all applications and patents for said invention claiming priority or benefit of the aforesaid utility application pursuant to any law or treaty, and including the right to claim such priority or benefit and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all patents on said improvements or resulting therefrom to said assignee herein, as assignee of the entire interest therein; and the undersigned for me and my legal representatives, heirs and assigns do hereby agree and covenant without further remuneration, to execute and deliver all original, divisional, continuation, reissue and other applications for Letters Patent on said improvements and all assignments thereof to said assignee or its assigns, to communicate to said assignee or its representatives all facts known to the undersigned respecting said improvements, whenever requested, to testify in any interferences or other legal proceedings in which any of said applications or patents may become involved, to sign all lawful papers, make all rightful oaths, and to do generally everything necessary to aid assignee, its successors, assigns and nominees to obtain patent protection for said improvements in all countries, the expenses incident to said applications to be borne and paid by said assignee.


And I do hereby authorize my attorneys to insert on this deed the filing date and application number of said application when known.

15 Sep 11 (Date) Harvey W. Kalweit (Signature)

State of Minnesota) SS:
County of Rice)

On this 15th day of September 2011 before me personally came the above-named Harvey Kalweit, to me personally known as the individual who executed the foregoing instrument, who acknowledged to me that the same was executed by him/her of his/her own free will for the purposes therein set forth.

Katharine M. Riewe
(Notary Public)



KATHARINE M. RIEWE
Notary Public
State of Minnesota
My Commission Expires
January 31, 2016

☒ *Total of 2 forms are submitted.

LD-5281