

## PATENT ASSIGNMENT

Electronic Version v1.1  
 Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
Oak Ridge Associated Universities	01/16/2013
RECEIVING PARTY DATA	
Name:	UT-Battelle, LLC
Street Address:	One Bethel Valley Road
Internal Address:	4500N, MS-6258
City:	Oak Ridge
State/Country:	TENNESSEE
Postal Code:	37831-6258
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	13651322
CORRESPONDENCE DATA	
Fax Number:	8655740381
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	(865) 574-4178
Email:	vanceke@ornl.gov
Correspondent Name:	Joseph A. Marasco
Address Line 1:	One Bethel Valley Road
Address Line 2:	4500N, MS-6258
Address Line 4:	Oak Ridge, TENNESSEE 37831-6258
ATTORNEY DOCKET NUMBER:	2771 ORAU TO UTB
NAME OF SUBMITTER:	Karen E. Vance
Total Attachments: 4 source=2771 ORAU to UTB Assignment#page1.tif source=2771 ORAU to UTB Assignment#page2.tif source=2771 ORAU to UTB Assignment#page3.tif source=2771 ORAU to UTB Assignment#page4.tif	

CH \$40.00 13651322

# 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)**  
Oak Ridge Associated Universities

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

**2. Name and address of receiving party(ies)**  
Name: UT-Battelle, LLC  
Internal Address: 4500N, MS-6258  
Street Address: One Bethel Valley Road  
City: Oak Ridge  
State: TN  
Country: USA Zip: 37831-6258  
Additional name(s) & address(es) attached?  Yes  No

**3. Nature of conveyance/Execution Date(s):**  
Execution Date(s) 01/16/2013

Assignment  Merger  
 Security Agreement  Change of Name  
 Joint Research Agreement  
 Government Interest Assignment  
 Executive Order 9424, Confirmatory License  
 Other \_\_\_\_\_

**4. Application or patent number(s):**  This document is being filed together with a new application.

A. Patent Application No.(s)  
13/651,322

B. Patent No.(s)

Additional numbers attached?  Yes  No

**5. Name and address to whom correspondence concerning document should be mailed:**  
Name: Joseph A. Marasco  
Internal Address: UT-Battelle, LLC  
Street Address: One Bethel Valley Road  
4500N, MS-6258  
City: Oak Ridge  
State: TN Zip: 37831-6258  
Phone Number: (865) 574-4178  
Fax Number: (865) 574-0381  
Email Address: marascoja@ornl.gov

**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 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 \_\_\_\_\_  
Expiration Date \_\_\_\_\_

b. Deposit Account Number 13-1958  
Authorized User Name Karen E. Bowman

**9. Signature:** \_\_\_\_\_ /Joseph A. Marasco/ \_\_\_\_\_ 01/29/2013  
Signature Date

Joseph A. Marasco, Reg. No. 32,798  
Name of Person Signing

Total number of pages including cover sheet, attachments, and documents: 4

**ASSIGNMENT AGREEMENT BETWEEN  
UT-BATTELLE, LLC AND ORAU**

THIS AGREEMENT is by and between UT-Battelle, LLC a limited liability company organized and existing under the laws of the State of Tennessee (hereinafter "UT-BATTELLE") in accordance with its prime contract No. DE-AC05-00OR22725 (hereinafter "UT-Battelle's Prime Contract") with the U.S. Department of Energy (hereinafter DOE) and Oak Ridge Associated Universities (hereinafter "ORAU"), the not-for-profit operating contractor of the DOE's Oak Ridge Institute for Science and Education (hereinafter "ORISE") under its prime contract No. DE-AC05-06OR23100 (hereinafter "ORAU's Prime Contract") with the DOE, both being hereinafter jointly referred to as the "Parties" and singularly as a "Party."

**WHEREAS:**

- A.** The Parties have developed technology identified in the invention disclosures, patent applications, and/or patents listed in Exhibit A (hereinafter Proprietary Rights); and
- B.** The Parties desire that ORAU assign its undivided right, title, and interest to the Proprietary Rights to UT-BATTELLE to place ownership of all Proprietary Rights in a single Party, thereby promoting effective and successful commercialization of Proprietary Rights.

**NOW THEREFORE THE PARTIES AGREE AS FOLLOWS:**

1. In consideration of good and valuable consideration--including, but not limited to the promises contained in the Memorandum of Agreement between UT-BATTELLE and ORAU executed September 20, 2001--the receipt and sufficiency of such consideration being hereby acknowledged, ORAU by these presents does hereby sell, assign, transfer and set over unto UT-BATTELLE, its successors, legal representatives and assigns, its entire right, title, and interest (if any) in, to, and under the Proprietary Rights.
2. UT-BATTELLE shall share with ORAU portions of royalties UT-BATTELLE receives from licensees, if any, of the Proprietary Rights in accordance with the aforesaid Memorandum of Agreement.
3. UT-BATTELLE shall obligate any licensees of the Proprietary Rights to indemnify ORAU for any liability arising from the making, using, importing or selling of a product, process or service by or on behalf of the Licensee, its assignees or licensees which was derived from the Proprietary Rights, except for any negligent acts or omissions of ORAU.
4. UT-BATTELLE shall obligate any licensees of the Proprietary Rights as listed in Exhibit A to comply with all U. S. export control laws and regulations applicable to the export of the Proprietary Rights.
5. ORAU makes no warranties or representations of any kind regarding the Proprietary Rights.
6. The effective date of this agreement is January 7, 2013 and it shall run to and terminate upon the end of the life of the last-to-expire Proprietary Rights of Exhibit A.

**In witness whereof the Parties have executed this agreement below:**

UT-BATTELLE, LLC

By: Judson R. Hightower  
Name: Judson R. Hightower  
Title: IP Managing Attorney  
Date: 1/10/2013

OAK RIDGE ASSOCIATED UNIVERSITIES

By: Rachel Lokitz  
Name: Rachel Lokitz  
Title: Associate General Counsel  
Date: 1/10/13

**EXHIBIT A, PROPRIETARY RIGHTS**

UT-B Docket No.	Title (Patent Appl. No., Patent No.)	Contract Type & No.	Inventors		
			UT-Battelle	ORAU	Others
2771.0	High Energy Density Secondary Lithium Batteries Patent Appl. No. 13/651,322	DE-AC05-00OR22725, DE-AC05-06OR23100	Jagjit Nanda Nancy J. Dudney Chaitanya K. Narula Sreekanth Pannala Raymond R. Unocic	Surendra K. Martha	