



Form PTO-1595 (Rev. 03-11)  
OMB No. 0851-0027 (exp. 03/31/2015)

U.S. DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office

<b>RECORDATION FORM COVER SHEET</b> <b>PATENTS ONLY</b>	
To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.	
<b>1. Name of conveying party(ies):</b> Mark Samuel Burdis (07/23/2013) and Jean-Christophe Giron (07/24/2013)  Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>2. Name and address of receiving party(ies)</b> Name: <u>SAGE Electrochromics, Inc.</u> Internal Address: _____ Street Address: _____  One Sage Way  City: <u>Faribault</u> State: <u>Minnesota</u> Country: <u>United States of America</u> Zip: <u>55021</u> Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>3. Nature of conveyance/Execution Date(s):</b> Execution Date(s): <u>In parentheses after inventor name</u> <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Change of Name <input type="checkbox"/> Security Agreement <input type="checkbox"/> Joint Research Agreement <input type="checkbox"/> Government Interest Assignment <input type="checkbox"/> Executive Order 9424, Confirmatory License <input type="checkbox"/> Other _____	<b>4. Application or patent number(s):</b> <input checked="" type="checkbox"/> This document is being filed together with a new application. A. Patent Application No.(s) <u>13/950,791</u> B. Patent No.(s) _____ Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>5. Name and address to whom correspondence concerning document should be mailed:</b> Name: <u>David J. Kohn</u> <u>LEARNER, DAVID, LITTENBERG,</u> <u>KRUMHOLZ &amp; MENTLIK, LLP</u> Internal Address: <u>Atty. Dkt.: SAGE 3.0-067</u> Street Address: <u>600 South Avenue West</u>  City: <u>Westfield</u> State: <u>NJ</u> Zip: <u>07090</u> Phone Number: <u>908-654-5000</u> Fax Number: <u>908-654-7866</u> Email Address: <u>mcormier@ldlkm.com</u>	<b>6. Total number of applications and patents involved:</b> <span style="border: 1px solid black; padding: 2px 10px;">1</span>  <b>7. Total fee (37 CFR 1.21(h) &amp; 3.41)</b> \$ <u>40.00</u>  <input checked="" type="checkbox"/> Authorized to be charged to deposit account <input type="checkbox"/> Enclosed <input type="checkbox"/> None required (government interest not affecting title)
<b>8. Payment Information</b> Deposit Account Number <u>12-1095</u> Authorized User Name <u>David J. Kohn</u>	
<b>9. Signature:</b> <div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="text-align: center;">             _____            Signature  <u>David J. Kohn - 68,909</u>            Name of Person Signing         </div> <div style="text-align: center;"> <u>July 25, 2013</u>            Date            Total number of pages including cover sheet, attachments, and documents: <span style="border: 1px solid black; padding: 2px 10px;">3</span> </div> </div>	

CH \$40.00 121095 13950791

<b>ASSIGNMENT OF UTILITY APPLICATION</b>		former PTO/SB/15 (8-00) Modified LDLKM Docket Number (Optional) <b>SAGE 3.0-087</b>
<p>Whereas, I, <u>Mark Samuel Burdis</u> of <u>1900 Legacy Drive, Faribault, Minnesota 55021</u></p> <p>hereafter referred to as assignor, have with others invented certain new and useful improvements in <u>ELECTROCHROMIC DEVICES HAVING IMPROVED STRUCTURE FOR REDUCING CURRENT LEAKAGE ACROSS LOWER TRANSPARENT CONDUCTOR LAYERS</u></p> <p><input checked="" type="checkbox"/> for which an application for a United States Letters Patent was filed on <u>July 25, 2013</u> Application Number <u>13/950,791</u></p> <p><input type="checkbox"/> for which an application for a United States Letters Patent was executed by me on _____ and _____</p> <p>Whereas, <u>SAGE Electrochromics, Inc.</u> a corporation of <u>New Jersey</u> herein referred to as "assignee" whose mailing address is <u>One Sage Way, Faribault, Minnesota 55021</u> is desirous of acquiring the entire right, title and interest in the same;</p> <p>NOW, THEREFORE, in consideration of the sum of <u>one</u> dollars (\$ <u>1.00</u> ), 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.</p> <p>And I do hereby authorize my attorneys to insert on this deed the filing date and application number of said application when known.</p> <p style="text-align: center;"> <u>23<sup>rd</sup> July 2013</u> (Date)                      <u>Mark Burdis</u> (Signature)         </p> <p>State of <u>Minnesota</u> ) SS: County of <u>Rice</u> )</p> <p>On this <u>23</u> day of <u>July</u>, <u>2013</u> before me personally came the above-named <u>Mark Samuel Burdis</u>, 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.</p> <div style="display: flex; justify-content: space-between; align-items: center;"> <div style="width: 40%;"> <p><u>Katharine M. Riewe</u> (Notary Public)</p> </div> <div style="width: 50%; text-align: center;">  <p>KATHARINE M. RIEWE Notary Public State of Minnesota My Commission Expires January 31, 2016</p> </div> </div>		
<input checked="" type="checkbox"/> *Total of <u>2</u> forms are submitted.		

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

**ASSIGNMENT OF UTILITY APPLICATION**

Docket Number (Optional)

SAGE 3.0-067

Whereas, I, Jean-Christophe Giron of  
5525 Warden Avenue, Edina, Minnesota 55436

hereafter referred to as assignor, have with others invented certain new and useful improvements in  
**ELECTROCHROMIC DEVICES HAVING IMPROVED STRUCTURE FOR REDUCING  
 CURRENT LEAKAGE ACROSS LOWER TRANSPARENT CONDUCTOR LAYERS**

☒ for which an application for a United States Letters Patent was filed on July 25, 2013  
 Application Number 13/950,791

☐ 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.

07.24.2013

(Date)

(Signature)

State of Minnesota ) SS:  
 County of Rice )

On this 24 day of July, 2013 before me personally came the above-named Jean-Christophe Giron 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.

PATENT