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OMB No. 0651-0027 (exp. 6/30/2008)

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# **RECORDATION FORM COVER SHEET PATENTS ONLY**

**S-130,307**

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)**

The Regents of the University of California

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No**3. Nature of conveyance/Execution Date(s):**Execution Date(s) May 13, 2014

- ☐ 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: United States Department of Energy

Internal Address: \_\_\_\_\_

Street Address: 1000 Independence Ave., S.W.City: WashingtonState: D.C.Country: USA Zip: 20585Additional 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)

Serial No. 14/274,458

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No**5. Name and address to whom correspondence concerning document should be mailed:**Name: Michael J. DobbsInternal Address: U. S. Dept. of Energy, IPLDStreet Address: 9800 S. Cass AveCity: ArgonneState: IL Zip: 60439Phone Number: 630-252-2164Fax Number: 630-252-2779Email Address: Confirmatory.License@ch.doe.gov**6. Total number of applications and patents involved: 1****7. Total fee (37 CFR 1.21(h) & 3.41) \$ \_\_\_\_\_**

- ☐ Authorized to be charged by credit card  
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**8. Payment Information**a. Credit Card Last 4 Numbers \_\_\_\_\_  
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6/5/2014

Date

John D. Cravero #71,245

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**2**

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**PATENT****REEL: 033153 FRAME: 0229**

## CONFIRMATORY LICENSE

Title: **MODIFIED CARBON BLACK MATERIALS FOR LITHIUM-ION BATTERIES**  
Contractor: **The Regents of the University of California**  
Contract No: **DE-AC02-05CH11231**  
LBNL Docket No: **IB-3193-** DOE Docket No.: **S-130,307**  
Inventor(s): **Kostecki, Robert; Richardson, Thomas J.; Boesenberg, Ulrike; Pollak, Elad; Lux, Simon**  
US Patent App No.: **14/274,458**  
Filing Date: **09-May-2014**  
U.S. Patent No.:  
Issue Date:

Foreign patent applications filed or intended to be filed at contractor's expense in (countries):  
(None)

The Contractor certifies that a true copy of the provisions which govern patent rights in "subject inventions" under the above-identified contract is herewith submitted or has been submitted to the U.S. Department of Energy by certification dated October 29, 1996.

WHEREAS, the above-identified contract provides the Contractor with the right to elect to retain title in certain inventions and the Contractor has reported the above-identified invention as a subject invention under the contract, has elected to retain title therein, and has agreed to file a domestic patent application thereon, if not previously filed.

ACCORDINGLY, the Contractor hereby confirms that under the provisions of the above-identified contract governing patent rights, it has granted to the Government a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States the subject invention throughout the world. This license applies to the above-identified invention, the above-identified patent application(s), and any and all divisions or continuations thereof and any resulting patent or reissue patent which may be granted thereon.

The Government reserves for itself, and is hereby granted by the Contractor, the irrevocable power to inspect and make copies of the file wrapper(s) of the above-identified U.S. patent application and of any related or continuation patent application(s), whether domestic or foreign, for the above-identified invention.

It is understood and agreed that this instrument does not preclude the Government from asserting rights under the provisions of the above-identified 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.

Signed on behalf of: The Regents of the University of California, Lawrence Berkeley National Laboratory  
(Contractor)

Witnessed: Mark D. Menge By: Stuart B. Chinn 5-13-14  
(Signature) (Contractor Official's Signature) (Date)

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