

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT3555905

|   |                                   |                       |
|---|-----------------------------------|-----------------------|
| <b>SUBMISSION TYPE:</b>   | NEW ASSIGNMENT                    |                       |
| <b>NATURE OF CONVEYANCE:</b>  | ASSIGNMENT                        |                       |
| <b>CONVEYING PARTY DATA</b>   |                                   |                       |
|   | <b>Name</b>                       | <b>Execution Date</b> |
|   | OAK RIDGE ASSOCIATED UNIVERSITIES | 10/05/2015            |
| <b>RECEIVING PARTY DATA</b>   |                                   |                       |
| <b>Name:</b>  | UT-Battelle, LLC                  |                       |
| <b>Street Address:</b>  | One Bethel Valley Road            |                       |
| <b>Internal Address:</b>  | 4500N, MS-6258                    |                       |
| <b>City:</b>  | Oak Ridge                         |                       |
| <b>State/Country:</b>   | TENNESSEE                         |                       |
| <b>Postal Code:</b>   | 37831-6258                        |                       |
| <b>PROPERTY NUMBERS Total: 1</b>  |                                   |                       |
|   | <b>Property Type</b>              | <b>Number</b>         |
|   | Application Number:               | 14110222              |
| <b>CORRESPONDENCE DATA</b>  |                                   |                       |
| <b>Fax Number:</b>  | (865)574-0381                     |                       |
| <i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i> |                                   |                       |
| <b>Phone:</b>   | (865) 574-0393                    |                       |
| <b>Email:</b>   | vanceke@ornl.gov                  |                       |
| <b>Correspondent Name:</b>  | EDNA I. GERGEL                    |                       |
| <b>Address Line 1:</b>  | ONE BETHEL VALLEY ROAD            |                       |
| <b>Address Line 2:</b>  | 4500N, MS-6258                    |                       |
| <b>Address Line 4:</b>  | OAK RIDGE, TENNESSEE 37831-6258   |                       |
| <b>ATTORNEY DOCKET NUMBER:</b>  | 2461.3 ORAU TO UTB                |                       |
| <b>NAME OF SUBMITTER:</b>   | KAREN E. VANCE                    |                       |
| <b>SIGNATURE:</b>   | /KE Vance/                        |                       |
| <b>DATE SIGNED:</b>   | 10/05/2015                        |                       |
| <b>Total Attachments: 4</b>   |                                   |                       |
| source=2461.3 ORAU to UTB Assignment#page1.tif  |                                   |                       |
| source=2461.3 ORAU to UTB Assignment#page2.tif  |                                   |                       |
| source=2461.3 ORAU to UTB Assignment#page3.tif  |                                   |                       |
| source=2461.3 ORAU to UTB Assignment#page4.tif  |                                   |                       |

**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

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

Execution Date(s) 10/05/2015

- ☒ 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: 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

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

☐ This document is being filed together with a new application.

A. Patent Application No.(s)

14/110,222

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

**5. Name and address to whom correspondence concerning document should be mailed:**

Name: Edna I. Gergel

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) 574-0393

Fax Number: (865) 574-0381

Email Address: gergelei@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:**

/Edna I. Gergel/

Signature

10/05/2015

Date

Edna I. Gergel, Reg. No. 50,819

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 September 18, 2015 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: 

Name: Marc T. Filigenzi

Title: IP Managing Attorney

Date: 10/2/2015

OAK RIDGE ASSOCIATED UNIVERSITIES

By: 

Name: Ivan Boatner

Title: General Counsel

Date: 10/5/15

**EXHIBIT A, PROPRIETARY RIGHTS**

| UT-B<br>Docket No. | Title (Patent Appl. No., Patent No.)  | Contract<br>Type & No.                  | Inventors  |  |        |
|--------------------|---|---|--|--|--------|
|                    |   |   | UT-Battelle  | ORAU   | Others |
| 2461.3             | Methods for Producing Complex Films,<br>and Films Produced Thereby<br>(Patent Appl. No.: 14/110, 220) | DE-AC05-00OR22725,<br>DE-AC05-06OR23100 | Gerald E. Jeffison, Jr.<br>Michael Z. Hu<br>Lonnie J. Love<br>Tommy J. Phelps<br>Craig A. Blue<br>Ronald D. Ott<br>Chad E. Duty<br>Chad M. Parish<br>Ilia N. Ivanov<br>Ji Won Moon | Charlee J. Bennett<br>Steven Walker<br>Quanqin Dai |        |