

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT3587534

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
JOHNSON MATTHEY BATTERY MATERIALS LTD.	07/13/2015
RECEIVING PARTY DATA	
Name:	JOHNSON MATTHEY PUBLIC LIMITED COMPANY
Street Address:	5TH FLOOR
Internal Address:	25 FARRINGDON STREET
City:	LONDON
State/Country:	UNITED KINGDOM
Postal Code:	EC4A 4AB
PROPERTY NUMBERS Total: 16	
Property Type	Number
Patent Number:	7534408
Patent Number:	8133618
Patent Number:	8048565
Patent Number:	8273481
Patent Number:	8647778
Application Number:	14146772
Application Number:	12445645
Application Number:	14567220
Patent Number:	8685566
Application Number:	13693908
Patent Number:	8668842
Patent Number:	8486296
Application Number:	14471454
Application Number:	13531257
Application Number:	14399233
Application Number:	14198856
CORRESPONDENCE DATA	
Fax Number:	(703)685-0573
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent</i>	
PATENT	

using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.

Phone: 7035212297
Email: agoode@young-thompson.com
Correspondent Name: YOUNG & THOMPSON
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ATTORNEY DOCKET NUMBER:	3205-10577-MISC
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NAME OF SUBMITTER:	BENOIT CASTEL
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SIGNATURE:	/Benoit Castel/
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DATE SIGNED:	10/27/2015
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Total Attachments: 15

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ASSIGNMENT

THIS ASSIGNMENT is made this 20th day of July 2015

BETWEEN

- (1) **JOHNSON MATTHEY MATERIAUX POUR BATTERIES L'ÉE/JOHNSON MATTHEY BATTERY MATERIALS LTD.**, a corporation incorporated under the laws of the province of Québec, with its registered office at 280 Liberté Avenue, Candiac, Québec J5R 6X1, Canada (the "Assignor"); and
- (2) **JOHNSON MATTHEY PUBLIC LIMITED COMPANY** a company incorporated and registered in England with company number 33774, the registered office of which is at 5th Floor, 25 Farringdon Street, London EC4A 4AB, England (the "Assignee")

(Parties (1) and (2) being referred to in this Assignment together as "the Parties" and each as a "Party").

WHEREAS

- A The Parties have agreed that the Assignor shall transfer ownership of certain Intellectual Property Rights (as defined below) and the Agreements listed in Schedules 2, and 3 hereto to the Assignee.
- B The Parties wish to record the terms and conditions upon which this transfer is made.

IT IS NOW HEREBY AGREED AS FOLLOWS:-

- (1) In this Assignment:-

"CES Business"	means the business line regarding the research and development, production and sale of electrode materials for lithium ion batteries formerly owned by Clariant (Canada) Inc. and assigned to the Assignor by means of the Asset Sale and Transfer Agreement dated 28 February 2015;
"Effective Date"	means 6 March 2015;
"Intellectual Property Rights"	means patents (including the Patents), utility models, design patents, trade and service marks (including the Trade Marks), applications for any of the aforementioned rights, copyrights, rights to software, domain names, rights to inventions, trade secrets, know-how, manufacturing processes and techniques, formulae, research and development, information and technology;
"Patents"	means the patents and patent applications listed in Part 1 of Schedule 1 hereto;
"Trade Marks"	means the registered trade marks listed in Part 2 of Schedule 1 hereto.

- (2) In consideration of the sum of US \$160,000, receipt of which is hereby acknowledged, the Assignor hereby assigns to the Assignee with limited title guarantee and with effect from the Effective Date:-
 - (a) the Intellectual Property Rights owned, or ownership share in any Intellectual Property Rights co-owned, at least beneficially by the Assignor which exclusively relate to the CES Business; and
 - (b) the Agreements for the licensing-in of Intellectual Property Rights listed in Schedule 2 hereto; and
 - (c) the Agreement regarding the co-existence of trade marks listed in Schedule 3 hereto.

(3) The rights assigned under Clause 2 include all rights, powers and benefits arising from and accrued to the Patents and the inventions claimed or described therein (the "Inventions") and the Trade Marks including:

- (a) the right to sue for damages and other remedies in respect of any infringement of such rights prior to the date of registration of the assignment effected hereby and any damages obtained as a result of such action;
- (b) the Assignor's right to claim the priority date of the patent applications listed in the Annex hereto, in any further application made under any treaty, convention or the national patent legislation in any country of the world; and
- (c) the Assignor's right to apply for, prosecute and obtain a patent or similar form of protection in respect of the Inventions, under any treaty, convention or the national patent legislation in any and all countries of the world (including the right to make a fresh or new application in respect of an Invention under any treaty, convention or the national patent legislation of any and all countries of the world);

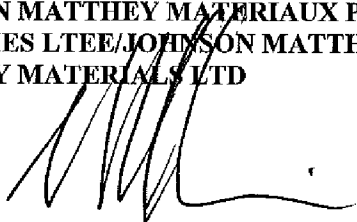
the said right, title and interest being the entire ownership of the patents in respect of the Inventions when granted, to be held and enjoyed by the Assignee, its successors, assigns or other legal representatives, to the full end of the term for which such patents may be granted, as fully and entirely as the same would have been held and enjoyed by the Assignor if this assignment had not been made.

- (4) The Assignor covenants that, at the request of the Assignee, it shall, at its own expense, do all such further acts and execute all such documents as may be reasonably necessary or reasonably desirable both to secure the proper vesting in the Assignee of all rights assigned to the Assignee and to assist in the resolution of any question concerning the Patent Rights.
- (5) This Agreement shall be governed by English law and the parties hereto submit to the exclusive jurisdiction of the English courts.

For and on behalf of:

**JOHNSON MATTHEY MATERIAUX POUR
BATTERIES LTEE/JOHNSON MATTHEY
BATTERY MATERIALS LTD**

Signature:



Name:

SP ROBINSON

Position:

TAX DIRECTOR

Date:

13/7/2015

For and on behalf of:

JOHNSON MATTHEY PLC

Signature:



Name:

DG JONES

Position:

DIRECTOR

Date:

20/7/2015

Cardiac Owned IP

Status of Exhibit: February 18, 2015

1. Patents

Clariant Ref.	Application No.	Title of the Patent	Country	Filing Date	Issue Date	Legal Owner
04-531 (Proc) (2013-001001)	2550496	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	Canada	22/12/2004	19/02/2013	Universite de Montreal/Centre National de la Recherche Scientifique/Clariant (Canada) Inc.
04-531 (Proc) (2013-001101)	2790784	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	Canada	22/12/2004	12/02/2013	Universite de Montreal/Centre National de la Recherche Scientifique/Clariant (Canada) Inc.
04-531 (Proc) (2013-001151)	2790806	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	Canada	22/12/2004	02/04/2013	Universite de Montreal/Centre National de la Recherche Scientifique/Clariant (Canada) Inc.
04-531 (Proc) (2013-001197)	2791156	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	Canada	22/12/2004		Universite de Montreal/Centre National de la Recherche Scientifique/Clariant (Canada) Inc.
04-531 (Proc) (2013-001101)	200480041561	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	China (PRC)	22/12/2004	22/12/2010	Universite de Montreal/Centre National de la Recherche Scientifique/Clariant (Canada) Inc.
04-531 (Proc) (2013-001102)	200408023157	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	Europe*	22/12/2004		Universite de Montreal/Centre National de la Recherche Scientifique/Clariant (Canada) Inc.

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04-531 P (Proc) [201300165]	13152593.3	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	Europe*	22/12/2004		Université de Montréal/Centre National de la Recherche Scientifique/Clarant (Canada) Inc.
04-531 P (Proc) [201300165]	20060545870	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	Japan	22/12/2004		Université de Montréal/Centre National de la Recherche Scientifique/Clarant (Canada) Inc.
04-531 P (Proc) [201300164]	20100132406	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	Japan	22/12/2004	20/03/2014	Université de Montréal/Centre National de la Recherche Scientifique/Clarant (Canada) Inc.
04-531 P (Proc) [201300164]	20067014689	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	Korea, South (ROK)	22/12/2004	25/06/2013	Université de Montréal/Centre National de la Recherche Scientifique/Clarant (Canada) Inc.
04-531 P (Proc) [201300165]	20117030005	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	Korea, South (ROK)	22/12/2004		Université de Montréal/Centre National de la Recherche Scientifique/Clarant (Canada) Inc.
04-531 P (Proc) [201300085]	10/536,431	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	United States	22/12/2004	19/05/2009	Université de Montréal/Centre National de la Recherche Scientifique/Clarant (Canada) Inc.
04-531 P (Proc) [201301106]	12/418,176	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	United States	03/04/2009	13/03/2012	Université de Montréal/Centre National de la Recherche Scientifique/Clarant (Canada) Inc.
04-531 P (Proc) [201300107]	12/953,077	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	United States	23/11/2010	01/11/2011	Université de Montréal/Centre National de la Recherche Scientifique/Clarant (Canada) Inc.
04-531 P (Proc) [201300108]	13/217,719	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	United States	25/08/2011	25/09/2012	Université de Montréal/Centre National de la Recherche Scientifique/Clarant (Canada) Inc.

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09-431 (P) 001 [201300103]	13/617,512	Process for preparing electroactive insertion compounds and electrode materials obtained therefrom	United States	14/09/2012	11/02/2014	Universite de Montreal/Centre National de la Recherche Scientifique/Clariant (Canada) Inc.
12-297 (P) 002 [201300157]	1050611	Carbon-metal oxide material having metal compound particles, which have a divalent structure and a carbon film deposited by pyrolysis, converting its surface, useful in electrode and battery, where battery is lithium metal solvating technology	France	28/01/2010	18/05/2012	Clariant (Canada) Inc. Bathlum
12-297 (P) 003 [201300154]	13/693,908	PROCEDURE TO OPTIMIZE MATERIALS FOR CATHODES AND CATHODE MATERIAL HAVING ENHANCED ELECTROCHEMICAL PROPERTIES	United States	04/12/2012		Clariant (Canada) Inc. Bathlum
12-297 (P) 004 [201300055]	2,817,058	PROCEDURE TO OPTIMIZE MATERIALS FOR CATHODES AND CATHODE MATERIAL HAVING ENHANCED ELECTROCHEMICAL PROPERTIES	Canada	28/01/2010		Clariant (Canada) Inc. Bathlum
10-585 (P) 005 [201300054]	2,614,634	Lithium Iron Phosphate Cathode Materials With Enhanced Energy Density And Power Performance	Canada	14/12/2007	03/04/2013	Clariant (Canada) Inc.
10-585 (P) 006 [201300059]	14/146,772	Process For Preparing Electroactive Insertion Compounds And Electrode Materials Obtained Therefrom	United States	03/01/2014		Clariant (Canada) Inc.; Universite de Montreal; Centre National de la Recherche Scientifique
12-148 (P) 005 [201300050]	12/097,148	Sulphonyl-1,2,4-triazole salts	United States	12/12/2006	4/3/2011 ABANDONED	Clariant (Canada) Inc.; Universite de Montreal
12-148 (P) 006 [201300051]	2007324398	CARBON-TREATED COMPLEX OXIDES AND METHOD FOR MAKING THE SAME	Australia	30/10/2007	05/12/2013	Clariant (Canada) Inc.; Universite de Montreal
12-148 (P) 007 [201300052]	20072667602	CARBON-TREATED COMPLEX OXIDES AND METHOD FOR MAKING THE SAME	Canada	30/10/2007	21/08/2012	Clariant (Canada) Inc.; Universite de Montreal
12-148 (P) 008 [201300053]	201410113741.0	CARBON-TREATED COMPLEX OXIDES AND METHOD FOR MAKING THE SAME	China (PRC)	30/10/2007		Clariant (Canada) Inc.; Universite de Montreal
12-148 (P) 009 [201300054]	20070870235	CARBON-TREATED COMPLEX OXIDES AND METHOD FOR MAKING THE SAME	Europe*	30/10/2007		Clariant (Canada) Inc.; Universite de Montreal
12-148 (P) 010 [201300055]	20110177387	CARBON-TREATED COMPLEX OXIDES AND METHOD FOR MAKING THE SAME	Europe*	30/10/2007		Clariant (Canada) Inc.; Universite de Montreal
12-148 (P) 011 [201300056]	23167061NP/2009	CARBON-TREATED COMPLEX OXIDES AND METHOD FOR MAKING THE SAME	India	30/10/2007		
12-148 (P) 012 [201300057]	198091	CARBON-TREATED COMPLEX OXIDES AND METHOD FOR MAKING THE SAME	Israel	30/10/2007	28/05/2014	Clariant (Canada) Inc.; Universite de Montreal
12-148 (P) 013 [201300058]	2014-109484	CARBON-TREATED COMPLEX OXIDES AND METHOD FOR MAKING THE SAME	Japan	30/10/2007		Clariant (Canada) Inc.; Universite de Montreal
12-148 (P) 014 [201300059]	20097011152	CARBON-TREATED COMPLEX OXIDES AND METHOD FOR MAKING THE SAME	Korea, South (ROK)	30/10/2007		Clariant (Canada) Inc.; Universite de Montreal
12-148 (P) 015 [201300060]	12/445,645	CARBON-TREATED COMPLEX OXIDES AND METHOD FOR MAKING THE SAME	United States	30/10/2007		Clariant (Canada) Inc.; Universite de Montreal

Clariant (Canada) Inc.;
Universite de Montreal

30/10/2007

Korea, South (ROK)

CARBON-TREATED COMPLEX OXIDES AND METHOD FOR MAKING THE SAME

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09-645 (P) 004
[201300090]

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10-200 (Patent) [2013000081]	200780045065	A METHOD FOR PREPARING A PARTICULATE CATHODE MATERIAL, AND THE MATERIAL OBTAINED BY SAID METHOD	China (PRC)	07/12/2007		Clariant (Canada) Inc.
10-200 (Patent) [2013000082]	20070853518	A METHOD FOR PREPARING A PARTICULATE CATHODE MATERIAL, AND THE MATERIAL OBTAINED BY SAID METHOD	Europe*	07/12/2007		Clariant (Canada) Inc.
10-200 (Patent) [2013000083]	20120156679	A METHOD FOR PREPARING A PARTICULATE CATHODE MATERIAL, AND THE MATERIAL OBTAINED BY SAID METHOD	Europe*	07/12/2007		Clariant (Canada) Inc.
10-200 (Patent) [2013000084]	12/517,990	A METHOD FOR PREPARING A PARTICULATE CATHODE MATERIAL, AND THE MATERIAL OBTAINED BY SAID METHOD	United States	07/12/2007		Clariant (Canada) Inc.
10-200 (Patent) [2013000085]	14/567,220	A METHOD FOR PREPARING A PARTICULATE CATHODE MATERIAL, AND THE MATERIAL OBTAINED BY SAID METHOD	United States	11/12/2014		Clariant (Canada) Inc.
12-000 (Patent) [2013000086]	2,784,686	Method for improving the electrochemical performances of an alkali metal oxygen electrode material and alkali metal oxygen electrode material obtained therefrom	Canada	17/12/2010		Clariant (Canada) Inc.
12-000 (Patent) [2013000087]	201080064119.5	Method for improving the electrochemical performances of an alkali metal oxygen electrode material and alkali metal oxygen electrode material obtained therefrom	China (PRC)	17/12/2010		Clariant (Canada) Inc.
12-000 (Patent) [2013000088]	EP10836900.0	Method for improving the electrochemical performances of an alkali metal oxygen electrode material and alkali metal oxygen electrode material obtained therefrom	Europe*	17/12/2010		Clariant (Canada) Inc.
12-000 (Patent) [2013000089]	13104780.1	Method for improving the electrochemical performances of an alkali metal oxygen electrode material and alkali metal oxygen electrode material obtained therefrom	Hong Kong	17/12/2010		Clariant (Canada) Inc.
12-000 (Patent) [2013000090]	2012543428	Method for improving the electrochemical performances of an alkali metal oxygen electrode material and alkali metal oxygen electrode material obtained therefrom	Japan	17/12/2010		Clariant (Canada) Inc.
12-000 (Patent) [2013000091]	20127018553	Method for improving the electrochemical performances of an alkali metal oxygen electrode material and alkali metal oxygen electrode material obtained therefrom	Korea, South (ROK)	17/12/2010		Clariant (Canada) Inc.
12-000 (Patent) [2013000092]	12/972,009	Method for improving the electrochemical performances of an alkali metal oxygen electrode material and alkali metal oxygen electrode material obtained therefrom	United States	17/12/2010	11/03/2014	Clariant (Canada) Inc.
12-000 (Patent) [2013000093]	2,805,133	BATTERY GRADE CATHODE COATING FORMULATION	Canada	15/07/2011		Clariant (Canada) Inc.
12-000 (Patent) [2013000094]	201180024089.1	BATTERY GRADE CATHODE COATING FORMULATION	China (PRC)	15/07/2011		Clariant (Canada) Inc.

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11-093 PAGES 2013000071	11806179.5	BATTERY GRADE CATHODE COATING FORMULATION	EPC (European Patent Convention)	15/07/2011	Clarant (Canada) Inc.
11-093 PAGES 2013000451	660/DELNP/2013	BATTERY GRADE CATHODE COATING FORMULATION	India	15/07/2011	Clarant (Canada) Inc.
11-093 PAGES 2013000451	518913/2013	BATTERY GRADE CATHODE COATING FORMULATION	Japan	15/07/2011	Clarant (Canada) Inc.
11-093 PAGES 2013000451	KR 10-2013-7000951	BATTERY GRADE CATHODE COATING FORMULATION	Korea, South (ROK)	15/07/2011	Clarant (Canada) Inc.
11-093 PAGES 2013000451	PCT/CA2011/000811	BATTERY GRADE CATHODE COATING FORMULATION	PCT (Patent Cooperation Treaty)	15/07/2011	Clarant (Canada) Inc.
11-093 PAGES 2013000451	100125125	BATTERY GRADE CATHODE COATING FORMULATION	Taiwan	15/07/2011	Clarant (Canada) Inc.
11-093 PAGES 2013000451	13/184,179	BATTERY GRADE CATHODE COATING FORMULATION	United States	15/07/2011	Clarant (Canada) Inc.
11-093 PAGES 2013000451	2,813,663	CARBON-DEPOSITED ALKALI METAL PHOSPHOSILICATE CATHODE MATERIAL AND PROCESS FOR PREPARING SAME INCLUDING TWO DRY HIGH-ENERGY MILLING STEPS	Canada	14/11/2011	CLARANT (CANADA) INC.
11-093 PAGES 2013000451	201180054166.6	CARBON-DEPOSITED ALKALI METAL PHOSPHOSILICATE CATHODE MATERIAL AND PROCESS FOR PREPARING SAME INCLUDING TWO DRY HIGH-ENERGY MILLING STEPS	China (PRC)	14/11/2011	CLARANT (CANADA) INC.
11-093 PAGES 2013000451	11839321	CARBON-DEPOSITED ALKALI METAL PHOSPHOSILICATE CATHODE MATERIAL AND PROCESS FOR PREPARING SAME INCLUDING TWO DRY HIGH-ENERGY MILLING STEPS	EPC (European Patent Convention)	11/11/2011	CLARANT (CANADA) INC.
11-093 PAGES 2013000451	585/MUMNP/2013	CARBON-DEPOSITED ALKALI METAL PHOSPHOSILICATE CATHODE MATERIAL AND PROCESS FOR PREPARING SAME INCLUDING TWO DRY HIGH-ENERGY MILLING STEPS	India	11/11/2010	CLARANT (CANADA) INC.
11-093 PAGES 2013000451	2013-538013	CARBON-DEPOSITED ALKALI METAL PHOSPHOSILICATE ELECTRODE MATERIAL AND PROCESS FOR PREPARING SAME	Japan	14/11/2011	CLARANT (CANADA) INC.
11-093 PAGES 2013000451	10-2013-7015037	CARBON-DEPOSITED ALKALI METAL PHOSPHOSILICATE ELECTRODE MATERIAL AND PROCESS FOR PREPARING SAME	Korea, South (ROK)	14/11/2011	CLARANT (CANADA) INC.
11-093 PAGES 2013000451	PCT/CA2011/001255	CARBON-DEPOSITED ALKALI METAL PHOSPHOSILICATE ELECTRODE MATERIAL AND PROCESS FOR PREPARING SAME	PCT (Patent Cooperation Treaty)	14/11/2011	CLARANT (CANADA) INC.
11-093 PAGES 2013000451	TW101102785	CARBON-DEPOSITED ALKALI METAL PHOSPHOSILICATE ELECTRODE MATERIAL AND PROCESS FOR PREPARING SAME	Taiwan	11/11/2011	CLARANT (CANADA) INC.

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11-553 (P) 14/2014 [2014000263]	14/471,454	CARBON-DEPOSITED ALKALI METAL OXANION ELECTRODE MATERIAL AND PROCESS FOR PREPARING SAME	United States	28/08/2014		Clarant (Canada) Inc.
12-250 (P) 01/2010 [2013001359]	20102763748	PROCESS TO INDUCE POLYMERIZATION OF AN ORGANIC ELECTRONICALLY CONDUCTIVE POLYMER	Canada	01/06/2010		UNIVERSITE DU QUEBEC A MONTREAL / Clarant (Canada) Inc.
12-250 (P) 01/2010 [2013001374]	20108024216	PROCESS TO INDUCE POLYMERIZATION OF AN ORGANIC ELECTRONICALLY CONDUCTIVE POLYMER	China (PRC)	01/06/2010	15/01/2014	UNIVERSITE DU QUEBEC A MONTREAL / Clarant (Canada) Inc.
12-250 (P) 01/2010 [2013001354]	2010782863	PROCESS TO INDUCE POLYMERIZATION OF AN ORGANIC ELECTRONICALLY CONDUCTIVE POLYMER	Europe*	01/06/2010	02/04/2014	UNIVERSITE DU QUEBEC A MONTREAL / Clarant (Canada) Inc.
12-250 (P) 01/2010 [2013001359]	2010782863	PROCESS TO INDUCE POLYMERIZATION OF AN ORGANIC ELECTRONICALLY CONDUCTIVE POLYMER	France	01/06/2010	02/04/2014	UNIVERSITE DU QUEBEC A MONTREAL / Clarant (Canada) Inc.
12-250 (P) 01/2010 [2013001359]	2010782863	PROCESS TO INDUCE POLYMERIZATION OF AN ORGANIC ELECTRONICALLY CONDUCTIVE POLYMER	Germany	01/06/2010	02/04/2014	UNIVERSITE DU QUEBEC A MONTREAL / Clarant (Canada) Inc.
12-250 (P) 01/2010 [2013001359]	2010782863	PROCESS TO INDUCE POLYMERIZATION OF AN ORGANIC ELECTRONICALLY CONDUCTIVE POLYMER	Italy	01/06/2010	02/04/2014	UNIVERSITE DU QUEBEC A MONTREAL / Clarant (Canada) Inc.
12-250 (P) 01/2010 [2013001354]	2012513422	PROCESS TO INDUCE POLYMERIZATION OF AN ORGANIC ELECTRONICALLY CONDUCTIVE POLYMER	Japan	01/06/2010		UNIVERSITE DU QUEBEC A MONTREAL / Clarant (Canada) Inc.
12-250 (P) 01/2010 [2013001359]	20117031523	PROCESS TO INDUCE POLYMERIZATION OF AN ORGANIC ELECTRONICALLY CONDUCTIVE POLYMER	Korea, South (ROK)	01/06/2010		UNIVERSITE DU QUEBEC A MONTREAL / Clarant (Canada) Inc.
12-250 (P) 01/2010 [2013001359]	13/375,250	PROCESS TO INDUCE POLYMERIZATION OF AN ORGANIC ELECTRONICALLY CONDUCTIVE POLYMER	United States	01/06/2010	01/04/2014	UNIVERSITE DU QUEBEC A MONTREAL / Clarant (Canada) Inc.
12-250 (P) 01/2010 [2013001359]	2,835,708	Improved Carbon-Deposited Alkali Metal Oxanion Electrode Material And Process Of Preparing Same	Canada	22/06/2012		CLARANT (CANADA) INC.
12-250 (P) 01/2010 [2013001359]	201280030331.9	Improved Carbon-Deposited Alkali Metal Oxanion Electrode Material And Process Of Preparing Same	China (PRC)	22/06/2012		CLARANT (CANADA) INC.
12-250 (P) 01/2010 [2013001359]	PCT/CA2012/000612	Improved Carbon-Deposited Alkali Metal Oxanion Electrode Material And Process Of Preparing Same	PCT (Patent Cooperation Treaty)	22/06/2012		CLARANT (CANADA) INC.
12-250 (P) 01/2010 [2013001359]	13/531,257	Carbon-deposited alkali metal oxanion electrode material and process of preparing same	United States	22/06/2012		Clarant (Canada) Inc.
12-250 (P) 01/2010 [2013001359]	13/575,817	METHOD FOR REDUCING ACTIVATION OF LITHIUM SECONDARY BATTERY AND LITHIUM SECONDARY BATTERY HAVING REDUCED ACTIVATION	United States	28/01/2011		Clarant (Canada) Inc.
12-250 (P) 01/2010 [2013001359]	14/085,144	PROCESS FOR MAKING AN ALKALI METAL OXANION COMPOSING IRON	United States	20/11/2013		Clarant (Canada) Inc and Université de Montréal
12-250 (P) 01/2010 [2013001359]	PCT/IE2014/059531	Alkali Metal Oxanion Electrode Material Having A Carbon Deposited By Pyrolysis And Process For Making Same	PCT (Patent Cooperation Treaty)	07/03/2014		Clarant (Canada) Inc.

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12-463 P/000516 [2013/000516]	14/198,856	Alkali Metal Oxidation Electrode Material Having A Carbon Deposited By Pyrolysis And Process For Making Same	United States	06/03/2014	Clarant (Canada) Inc.
12-463 P/000516 [2013/000516]	63,787,490	Alkali Metal Oxidation Electrode Material Having A Carbon Deposited By Pyrolysis And Process For Making Same	United States	15/03/2013	Clarant (Canada) Inc.
12-463 P/000516 [2013/000516]	PCT/CA2013/000516	Process for Preparing Crystalline electrode materials and materials obtained therefrom	PCT (Patent Cooperation Treaty)	28/05/2013	Clarant (Canada) Inc.; Université de Montréal; La Corporation de l'école Polytechnique de Montréal
12-463 P/000516 [2013/000516]	102118625	Process for Preparing Crystalline electrode materials and materials obtained therefrom	Taiwan	27/05/2013	Clarant (Canada) Inc.; Université de Montréal; La Corporation de l'école Polytechnique de Montréal
12-463 P/000516 [2013/000516]	102118625 2,670,079	Process for Preparing Crystalline electrode materials and materials obtained therefrom	Canada	28/05/2013	Clarant (Canada) Inc.; Université de Montréal; La Corporation de l'école Polytechnique de Montréal
12-463 P/000516 [2013/000516]	201380027289.X	Process for Preparing Crystalline electrode materials and materials obtained therefrom	China (PRC)	28/05/2013	Clarant (Canada) Inc.; Université de Montréal; La Corporation de l'école Polytechnique de Montréal
12-463 P/000516 [2013/000516]	13796533.1	Process for Preparing Crystalline electrode materials and materials obtained therefrom	Europe*	28/05/2013	Clarant (Canada) Inc.; Université de Montréal; La Corporation de l'école Polytechnique de Montréal
12-463 P/000516 [2013/000516]	agent will record in Hong Kong once China application is published	Process for Preparing Crystalline electrode materials and materials obtained therefrom	Hong Kong	28/05/2013	Clarant (Canada) Inc.; Université de Montréal; La Corporation de l'école Polytechnique de Montréal
12-463 P/000516 [2013/000516]	agent to provide number once available [filed January 28, 2015]	Process for Preparing Crystalline electrode materials and materials obtained therefrom	Japan	28/05/2013	Clarant (Canada) Inc.; Université de Montréal; La Corporation de l'école Polytechnique de Montréal
12-463 P/000516 [2013/000516]	10-2014-7036840	Process for Preparing Crystalline electrode materials and materials obtained therefrom	Korea	28/05/2013	Clarant (Canada) Inc.; Université de Montréal; La Corporation de l'école Polytechnique de Montréal
12-463 P/000516 [2013/000516]	14/399,233	Process for Preparing Crystalline electrode materials and materials obtained therefrom	United States	28/05/2013	Clarant (Canada) Inc.; Université de Montréal; La Corporation de l'école Polytechnique de Montréal

2. Trade and Service Marks

#237006-v1

Trade Mark No. (Registration No.)	Trade Mark	Country/ies	Filing Date	Registration Date	Legal Owner
828,140,138	Life Power	BR	23/12/2005	09/06/2009	Clariant Canada Inc.
828,140,146	Life Power	BR	23/12/2005		Clariant Canada Inc.
TMA 889,507	Life Power	CA	22/11/2005	11/06/2007	Clariant Canada Inc.
5079289	Life Power	CN	23/12/2005	21/05/2009	Clariant Canada Inc.
5450544	Life Power	CN	29/06/2006	28/05/2009	Clariant Canada Inc.
5691344	Life Power	CN	30/10/2006	28/08/2009	Clariant Canada Inc.
5379288	Life Power	CN	23/12/2005	07/12/2012	Clariant Canada Inc.
305 37 038	Life Power	DE	24/06/2005	01/08/2006	Clariant Canada Inc.
306 59 169	Life Power	DE	25/08/2006	22/05/2007	Clariant Canada Inc.
307 63 337	Life Power	DE	27/09/2007	17/12/2007	Clariant Canada Inc.
004823449	Life Power	EU	22/12/2005	21/11/2007	Clariant Canada Inc.
005365184	Life Power	EU	25/09/2006	14/08/2007	Clariant Canada Inc.
5046907	Life Power	JP	28/12/2005	11/05/2007	Clariant Canada Inc.
40-0719814	Life Power	KR	23/08/2006	06/08/2007	Clariant Canada Inc.
335582	Life Power	RU	23/12/2005	10/10/2007	Clariant Canada Inc.
01253908	Life Power	TW	23/12/2005	18/03/2007	Clariant Canada Inc.
01255401	Life Power	TW	29/06/2006	16/03/2007	Clariant Canada Inc.
3,769,357	LIFE POWER	US	22/12/2005	30/03/2010	Clariant Canada Inc.
934 334	LIFE POWER	WO,JP,US	20/12/2006	28/12/2006	Clariant Canada Inc.

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30 2008 015 405	Life Power Inside	DE	07/03/2008	16/05/2008	Clariant Canada Inc.
TMA 689,503	Life-PO4WER	CA	22/11/2005	11/06/2007	Clariant Canada Inc.
TMA 689,502	Life-PO4WER	CA	22/11/2005	11/06/2007	Clariant Canada Inc.
305 55 822	Life-PO4WER	DE	19/09/2005	04/01/2006	Clariant Canada Inc.
305 59 945	Life-PO4WER	DE	07/10/2005	26/01/2006	Clariant Canada Inc.
004996021	Life-PO4WER	EU	20/03/2006	03/04/2007	Clariant Canada Inc.
005014048	Life-PO4WER	EU	29/03/2006	15/02/2007	Clariant Canada Inc.
01315996	Life-PO4WER	TW	16/01/2007	18/05/2008	Clariant Canada Inc.
01315997	Life-PO4WER	TW	16/01/2007	16/06/2008	Clariant Canada Inc.
909 062	Life-PO4WER	WO,CN, KR, US	20/03/2006	20/03/2006	Clariant Canada Inc.
908 571	Life-PO4WER	WO,CN, JP, KR, US	28/03/2006	28/03/2006	Clariant Canada Inc.

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Exhibit 3.3.1(d)

Candiac Licensing-In Agreements

Status of Exhibit: (February 28, 2015)
27

No.	Title or characterization of agreement	Clariant entity	Other parties	Date of agreement
1	License Agreement	Clariant (Canada) Inc. Clariant International AG	None	Effective as of 11/11/2015

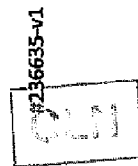
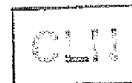


Exhibit 3.3.1(e)

Candiac Co-existence Agreements

Status of Exhibit: February 26, 2015
17

No.	Title or characterization of agreement	Clariant entity	Other parties	Date of agreement
1	Co-existence Agreement relating to the trademark Life Power and LIFE POWER	Phostech Lithium Inc.	Würth Elektronik GmbH & Co. KG Intelligent Connecting Systems	07.02.2007 27.11.2006



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