

Form PTO-1595 (Rev. 07/05)  
OMB No. 0651-0027 (exp. 6/30/2008)

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

**CAR**

**RECORDATION FORM COVER SHEET  
PATENTS ONLY**

**S-142,042**

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)**

Lucid Energy, Inc.

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

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

Execution Date(s) October 30, 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: United States Department of Energy

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

Street Address: 1000 Independence Ave., S.W

City: Washington

State: D.C.

Country: USA Zip: 20585

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)

Serial No. 13/099,377

B. Patent No.(s)

Additional numbers attached?  Yes  No

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

Name: Michael J. Dobbs

Internal Address: U. S. Dept. of Energy, IPLD

Street Address: 9800 S. Cass Ave

City: Argonne

State: IL Zip: 60439

Phone Number: 630-252-2164

Fax Number: 630-252-2779

Email 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
- 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 \_\_\_\_\_

Authorized User Name \_\_\_\_\_

**9. Signature:**

[Signature]  
Signature

12/14/15  
Date

Michael J. Dobbs #58,093  
Name of Person Signing

Total number of pages including cover sheet, attachments, and documents: **2**

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:  
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

**PATENT**

**REEL: 037271 FRAME: 0120**



**Department of Energy Office of  
Science**  
science.energy.gov/isc/services/legal/

### CONFIRMATORY LICENSE

Title of invention: IN-PIPE HYDRO-ELECTRIC POWER SYSTEM AND TURBINE

Inventor(s): Roderic Alan Schlabach, Mark Rydell Cosby, Edward J. Kurth, Igor Palley, Greg Smith

Patent Application Serial No: 13/099,377

Filing Date: 5/03/2011

Patent Number: US 8,360,720 B2

Issue Date: 1/29/2013

Name of Contractor: Lucid Energy, Inc.

DOE Contract No.: DE-SC0003562

DOE Case No.: S-142,042

Contractor Docket No.:

The Contractor has reported the above-identified invention as a Subject Invention to DOE and has elected to retain title thereto.

Accordingly, this document is confirmatory of the nonexclusive, nontransferable, irrevocable, paid-up, worldwide license in this subject invention, patent application and any resulting patent, including any continuation, divisional, reissue, or supplemental application thereof, to practice or to have practiced for or on behalf of the United States throughout the world; and of all other rights acquired by the Government by the patent rights clause in the above-identified contract.

It is understood and agreed that this license does not preclude the Government from asserting rights under the provisions of said contract or of any other agreement between the Government and the Contractor, or from asserting any other rights of the Government with respect to the above-identified subject invention.

The Government is hereby granted an irrevocable power to inspect and make copies of the above-identified patent application.

A handwritten signature in black ink, appearing to read "Ron Peters", written over a horizontal line.

Signed on: 10/30/15

Contractor Name: Lucid Energy, Inc

Official's Name: Ron Peters

Official's Title: Director of Engineering

Business Address: 2420 NE Sandy Blvd, Suite 203

Portland, OR 97232