# PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1 Stylesheet Version v1.2 EPAS ID: PAT4093453

| SUBMISSION TYPE:      | NEW ASSIGNMENT |
|-----------------------|----------------|
| NATURE OF CONVEYANCE: | ASSIGNMENT     |

### **CONVEYING PARTY DATA**

| Name                 | Execution Date |
|----------------------|----------------|
| CPT IP HOLDINGS, LLC | 09/02/2016     |

## **RECEIVING PARTY DATA**

| Name:           | TRAVERSE TECHNOLOGIES CORP. |
|-----------------|-----------------------------|
| Street Address: | 11100 SANTA MONICA          |
| City:           | LOS ANGELES                 |
| State/Country:  | CALIFORNIA                  |
| Postal Code:    | 90025                       |

## **PROPERTY NUMBERS Total: 25**

| Property Type       | Number   |
|---------------------|----------|
| Patent Number:      | 8420258  |
| Patent Number:      | 8658310  |
| Patent Number:      | 8481214  |
| Patent Number:      | 8652683  |
| Patent Number:      | 9349544  |
| Application Number: | 13779571 |
| Application Number: | 13779522 |
| Application Number: | 13779472 |
| Application Number: | 13868957 |
| Application Number: | 14176137 |
| Application Number: | 14262497 |
| Application Number: | 14262514 |
| Application Number: | 14262528 |
| Application Number: | 14625372 |
| Application Number: | 61067018 |
| Application Number: | 61130679 |
| Application Number: | 61254090 |
| Application Number: | 61603833 |
| Application Number: | 61615179 |
| Application Number: | 61677317 |
|                     |          |

PATENT REEL: 039996 FRAME: 0478

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| Property Type       | Number   |
|---------------------|----------|
| Application Number: | 61752437 |
| Application Number: | 61806819 |
| Application Number: | 61868002 |
| Application Number: | 61904417 |
| Application Number: | 61910955 |

#### **CORRESPONDENCE DATA**

**Fax Number:** (612)332-9081

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.

**Phone:** 6123325300

**Email:** kschultz@merchantgould.com

Correspondent Name: E. JOSEPH GESS Address Line 1: P.O. BOX 2903

Address Line 4: MINNEAPOLIS, MINNESOTA 55402-0903

| ATTORNEY DOCKET NUMBER: | 17619.00000002   |
|-------------------------|------------------|
| NAME OF SUBMITTER:      | E. JOSEPH GESS   |
| SIGNATURE:              | /E. Joseph Gess/ |
| DATE SIGNED:            | 10/12/2016       |

#### **Total Attachments: 8**

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#### ASSIGNMENT AGREEMENT

This Assignment Agreement (the "Agreement") is made and entered into this 2ndday of September 2016 (the "Effective Date") by and between CPT IP Holdings, LLC (the "Assignor") and Traverse Technologies Corp. ("Assignee").

#### **RECITALS**

- A. Assignor is the owner of (select as appropriate):
  - ✓ the United States Patents set forth on <u>Appendix A</u> hereto (the "US Patents");
  - ✓ the non-United States patents set forth on <u>Appendix B</u> hereto (the "Foreign Patents");
  - ✓ the United States patent applications set forth on <u>Appendix C</u> hereto (the "US Patent Applications");
  - the United States provisional patent applications set forth on <u>Appendix D</u> hereto (the "US Provisional Patent Applications"); and/or
  - **☑** the foreign patent applications set forth on <u>Appendix E</u> hereto (the "Foreign Patent Applications"):

which collectively shall be referred to herein as the "Patents".

B. Assignor and Assignee have agreed by way of a purchase agreement (the "Purchase Agreement") dated August 3, 2016, by and between Assignor and Assignee, the terms of which are incorporated herein by reference, that Assignor shall sell, transfer, and assign and set over unto Assignee and Assignee shall accept, all rights, title and interest in and to the Patents as specified in this Agreement. In the event of any conflict between the terms of this Patent Assignment Agreement and the referenced Purchase Agreement, the terms of the Purchase Agreement shall prevail.

#### **AGREEMENT**

NOW, THEREFORE, in consideration of the foregoing premises, and the covenants and agreements in this Assignment, Assignor and Assignee agree as follows:

1. Assignor does hereby sell, transfer, convey, assign and deliver to Assignee all of Assignor's right, privilege, title and interest in, to and under the Patents and in the case of patent applications in and to any patents that may issue therefrom, including, in all instances, any counterparts of any of the foregoing in any jurisdiction throughout the world, and any and all divisions, continuations, reissues or reexaminations of any of the foregoing, and, further, all applications for industrial property protection, including without limitation, all applications for patents, utility models, copyright, and designs which may hereafter be filed for any inventions described in said Patents in any country or countries, together with the right to file such applications and the right to claim for the same the priority rights derived from the inventions and the Patents under the laws of the United States, the International Convention for the Protection of Industrial Property, or any other

international agreement or the domestic laws of the country in which any such application is filed, as may be applicable, in each instance the same to be held by Assignee for Assignee's own use and enjoyment, and for the use and enjoyment of Assignee's successors, assigns and other legal representatives, as fully and entirely as the same would have been held and enjoyed by Assignor if this Assignment and sale had not been made; together with all claims for damages, information, rendering of accounts, destruction of infringing goods, payments, royalties, income or other remuneration (hereinafter "Damages") now or hereafter due or payable with respect thereto, and all causes of action (whether in law or equity) by reason of past, present and future infringements of the Patents or other rights being assigned hereunder, along with the right to sue for, counterclaim, recover and collect such Damages for the use and benefit of Assignee and its successors, assigns and other legal representatives. Assignee hereby accepts this assignment.

- 2. Insofar as this assignment concerns European patents and patent applications, Assignor hereby agrees that the assignment will be recorded in the register with the European Patent Office and/or national patent offices; and Assignee hereby declares that Assignee has agreed to the assignment of the aforementioned Patents to it and that Assignee will simultaneously apply for recording of the assignment in the register with the European Patent Office and/or national patent offices.
- 3. Assignor hereby authorizes and requests the Commissioner for Patents of the United States, and any officer of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of intellectual property protection or applications as aforesaid, to issue the same to Assignee and its successors, assigns and other legal representatives in accordance with the terms of this instrument.
- 4. Assignor agrees that, whenever reasonably requested by Assignee, Assignor will execute all papers, take all rightful oaths, and do all acts which may be reasonably necessary for securing and maintaining the Patents in any country and for vesting title thereto in Assignee, its successors, assigns and legal representatives or nominees.
- 5. Assignor authorizes and empowers Assignee, its successors, assigns and legal representatives or nominees, to invoke and claim for any application for patent or other form of protection for the inventions, the benefit of the right of priority provided by the International Convention for the Protection of Industrial Property, as amended, or by any convention which may henceforth be substituted for it, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable, and to invoke and claim such right of priority without further written or oral authorization from Assignor.
- 6. Assignor hereby consents that a copy of this Agreement shall be deemed a full legal and formal equivalent of any assignment, consent to file or like document that may be required in any country for any purpose and more particularly in proof of the right of Assignee or nominee to claim the aforesaid benefit of the right of priority provided by the International Convention for the Protection of Industrial Property, as amended, or by any convention which may henceforth be substituted for it.

Signature Page Follows

IN WITNESS WHEREOF, the Parties have executed this Assignment on the Effective Date.

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|---------------------------|----------------------|-----------------|-----------|----------|--|
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# APPENDIX A

# TO ASSIGNMENT AGREEMENT

| US | 8,658,310 | High Capacity Electrodes                                  |
|----|-----------|---|
| US | 8,420,258 | High Capacity Electrodes                                  |
| US | 8,481,214 | Electrodes Including Support Filament With Collar Stop    |
| US | 8,652,683 | High Capacity Electrodes                                  |
| US | 9,349,544 | Hybrid Energy Storage Devices Including Support Filaments |

## APPENDIX B

## TO ASSIGNMENT AGREEMENT

| CN | 101953014 | High Capacity Electrodes |
|----|-----------|--------------------------|
| JP | 5765942   | High Capacity Electrodes |
| KR | 101513384 | High Capacity Electrodes |
| KR | 101307623 | High Capacity Electrodes |
| KR | 101503659 | High Capacity Electrodes |
| KR | 101513384 | High Capacity Electrodes |

## APPENDIX C

# TO ASSIGNMENT AGREEMENT

| US | 2013-0169238 | Hybrid Energy Storage Device Charging                                 |
|----|--------------|---|
| US | 2013-0171340 | Hybrid Energy Storage Device Production                               |
| US | 2013-0171512 | Hybrid Energy Storage Devices Including Surface Effect Dominant Sites |
| US | 2013-0244107 | Hybrid Energy Storage Devices   |
| US | 2014-0154593 | High Capacity Energy Storage  |
| US | 2014-0234711 | Energy Storage Devices  |
| US | 2014-0234712 | Energy Storage Devices Including Support Filaments                    |
| US | 2014-0234713 | Energy Storage Devices Including Silicon and Graphite                 |
| US | 2015-0236342 | Lithium-ion Battery Anode Including Preloaded Lithium                 |

# APPENDIX D

## TO ASSIGNMENT AGREEMENT

| US | 61/067,018 | Conducting electrode using carbon nano-tubes (CNT's)/carbon nano-fibers (CNFs) grown directly on the electrode with or without an activation layer |
|----|------------|--|
| US | 61/130,679 | High capacity electrodes in a secondary battery  |
| US | 61/254,090 | Electrodes Including Collar Stop   |
| US | 61/603,833 | Enhanced Power Lithium-Ion Electrode   |
| US | 61/615,179 | Energy Storage Devices   |
| US | 61/677,317 | High Power High Energy Storage Devices   |
| US | 61/752,437 | Energy Storage Device  |
| US | 61/806,819 | High Performance Lithium-ion Battery Electrode: Silicon Coated on Vertically Aligned Carbon Nanofibers   |
| US | 61/868,002 | Battery Including Cathode  |
| US | 61/904,417 | Energy Storage Device Including Over-layer   |
| US | 61/910,955 | Hybrid Energy Storage Devices  |

## **APPENDIX E**

## TO ASSIGNMENT AGREEMENT

| CN  | 102044659      | Electrodes including collar stop                          |
|-----|----------------|---|
| CN  | 104393257      | High Capacity Electrodes                                  |
| CN  | 104247089      | Hybrid Energy Storage Devices                             |
| DE  | 112009000443.1 | Elektroden mit hoher Kapazität                            |
| EP  | EP2820694      | Hybrid Energy Storage Devices                             |
| GB  | GB2512230      | Energy storage devices                                    |
| НК  | HK1202345      | Hybrid energy storage devices including support filaments |
| JP  | 2011-108639    | Electrodes including collar stop                          |
| JP  | 2015-043331    | High Capacity Electrodes                                  |
| JP  | 2015-149292    | Electrodes including collar stop                          |
| KR  | 1020110044158  | Electrodes including collar stop                          |
| KR  | 1020140148399  | Hybrid Energy Storage Devices                             |
| KR  | 1020150058143  | Hybrid energy storage devices including support filaments |
| SG  | 11201405271X   | Hybrid Energy Storage Devices                             |
| PCT | WO/2009/108731 | High Capacity Electrodes                                  |
| PCT | WO/2013/130677 | Hybrid Energy Storage Devices                             |
| PCT | WO/2014/110604 | High Capacity Energy Storage                              |

PATENT REEL: 039996 FRAME: 0487

**RECORDED: 10/12/2016**