

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT5665394

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|---|---------------------------------|
| <b>SUBMISSION TYPE:</b>   | NEW ASSIGNMENT                  |
| <b>NATURE OF CONVEYANCE:</b>  | ASSIGNMENT                      |
| <b>CONVEYING PARTY DATA</b>   |                                 |
| <b>Name</b>   | <b>Execution Date</b>           |
| JOEL DAWSON   | 07/18/2019                      |
| ALI PASSIAN   | 07/17/2019                      |
| <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>                   |
| <b>Application Number:</b>  | 16427109                        |
| <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>   | 865-576-6883                    |
| <b>Email:</b>   | vanceke@ornl.gov                |
| <b>Correspondent Name:</b>  | MARC T. FILIGENZI               |
| <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>  | 4302.0                          |
| <b>NAME OF SUBMITTER:</b>   | KAREN E. VANCE                  |
| <b>SIGNATURE:</b>   | /KE Vance/                      |
| <b>DATE SIGNED:</b>   | 08/13/2019                      |
| <b>Total Attachments: 4</b>   |                                 |
| source=4302 Assignment for EPAS#page1.tif   |                                 |
| source=4302 Assignment for EPAS#page2.tif   |                                 |
| source=4302 Assignment for EPAS#page3.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)**

Joel Dawson  
Ali Passian

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

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

Execution Date(s) 07/18/2019

- ☒ 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)

B. Patent No.(s)

16/427,109

Additional numbers attached? ☐ Yes ☒ No

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

Name: Marc T. Filigenzi

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) 576-6883

Fax Number: (865) 574-0381

Email Address: filigenzimt@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. Vance

**9. Signature:**

/Marc T. Filigenzi/

Signature

04/03/2019

Date

Marc T. Filigenzi, Reg. No. 46,700

Name of Person Signing

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

4

## ASSIGNMENT

WHEREAS, we the below-named inventors whose residences are as stated below, have an interest in an invention entitled:

### Rootkit Detection System

(hereinafter referred to as "Subject Invention") for which are described in United States Patent Application No. 16/427,109 filed on May 30, 2019, and

WHEREAS, UT-BATTELLE, LLC, a limited liability company of the State of Tennessee, having an office at One Bethel Valley Road, P. O. Box 2008, Oak Ridge, Tennessee 37831-6258, hereinafter referred to as "ASSIGNEE," is desirous of acquiring our entire right, title and interest of the undersigned in the same;

NOW, THEREFORE, in accordance with the terms of our employment agreement with ASSIGNEE and for good and valuable consideration, the receipt of which is hereby acknowledged, we hereby assign and transfer to ASSIGNEE and its successors in interest our entire right, title and interest in the Subject Invention to all rights of priority thereto pursuant to the International Convention for the Protection of Industrial Property, and in any Letters Patent on the Subject Invention that may be granted in the United States of America and in any and all foreign countries, including any and all Letters Patent that are divisions, reissues, continuations, substitutions or extensions of any Letters Patent or patent applications therefor on the Subject Invention.

We hereby authorize and request the Commissioner of the United States Patent and Trademark Office and the officials of any and all foreign countries to issue any and all of said Letters Patent, when granted, to the ASSIGNEE.

Further, we hereby agree to communicate to said ASSIGNEE or its representatives any facts known to us respecting said Subject Invention, to testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, substitution, renewal and reissue applications, to execute all necessary assignment papers to cause any and all of said Letters Patent to be issued to said ASSIGNEE, and to make all rightful oaths and generally do everything possible to aid said ASSIGNEE and its representatives to obtain and enforce proper protection for said Subject Invention in the United States of America and in any and all foreign countries.

We further agree that the terms, covenants and conditions of this assignment shall inure to the benefit of ASSIGNEE, its successors, assigns, and legal representatives, and shall be binding on us, our heirs, legal representatives, and assigns.

Name of Inventor: **Joel Dawson**

Signature: Joel Dawson

Date: 7/18/2019

Residence: 105 Tracy Lane, Oak Ridge, Tennessee 37830

Name of Inventor: **Ali Passian**

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

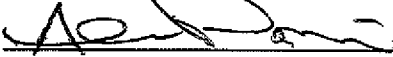
Residence: 2708 Edgebrook Way, Knoxville, Tennessee 37922

Name of Inventor: **Joel Dawson**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Residence: 105 Tracy Lane, Oak Ridge, Tennessee 37830

Name of Inventor: **Ali Passian**

Signature:  Date: July 17, 2019

Residence: 12708 Edgebrook Way, Knoxville, Tennessee 37922