

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT6622152

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	SECURITY INTEREST
CONVEYING PARTY DATA	
Name	Execution Date
WARNER BABCOCK INSTITUTE FOR GREEN CHEMISTRY, LLC	03/26/2020
RECEIVING PARTY DATA	
Name:	JAMES V. BABCOCK
Street Address:	100 SHORELINE HWY.
Internal Address:	SUITE B280
City:	MILL VALLEY
State/Country:	CALIFORNIA
Postal Code:	94941
PROPERTY NUMBERS Total: 14	
Property Type	Number
Application Number:	14040393
Application Number:	14473472
Application Number:	16313299
Application Number:	16313538
Application Number:	14942747
Application Number:	16618563
Application Number:	16766818
Application Number:	13921130
Application Number:	14127714
Application Number:	15774638
Application Number:	16611945
Application Number:	16611963
Application Number:	17003248
Application Number:	17003298
CORRESPONDENCE DATA	
Fax Number:	(703)546-0100
<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>	
Phone:	7034745810

Email:	cgoode@cnmplaw.com
Correspondent Name:	MALCOLM K. MCGOWAN
Address Line 1:	2000 DUKE STREET
Address Line 2:	SUITE 300
Address Line 4:	ALEXANDRIA, VIRGINIA 22314

ATTORNEY DOCKET NUMBER:	139-000/238-000
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NAME OF SUBMITTER:	CHRISTOPHER GOODE
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SIGNATURE:	/Christopher Goode/
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DATE SIGNED:	03/25/2021
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Total Attachments: 2

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UCC FINANCING STATEMENT

FOLLOW INSTRUCTIONS

A. NAME & PHONE OF CONTACT AT FILER (optional) Michael J. Goldberg (617) 426-5900
B. E-MAIL CONTACT AT FILER (optional) goldberg@casneredwards.com
C. SEND ACKNOWLEDGMENT TO: (Name and Address) Casner & Edwards, LLP 303 Congress St. Boston, MA 02210

Delaware Department of State
U.C.C. Filing Section
Filed: 11:14 AM 03/26/2020
U.C.C. Initial Filing No: 2020 2207886

Service Request No: 20202389913

THE ABOVE SPACE IS FOR FILING OFFICE USE ONLY

1. DEBTOR'S NAME: Provide only one Debtor name (1a or 1b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name); if any part of the Individual Debtor's name will not fit in line 1b, leave all of item 1 blank, check here ☐ and provide the Individual Debtor information in item 10 of the Financing Statement Addendum (Form UCC1Ad)

1a. ORGANIZATION'S NAME Warner Babcock Institute for Green Chemistry LLC				
OR				
1b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)		SUFFIX
1c. MAILING ADDRESS 100 Research Drive		CITY Wilmington	STATE MA	POSTAL CODE 01887
			COUNTRY USA	

2. DEBTOR'S NAME: Provide only one Debtor name (2a or 2b) (use exact, full name; do not omit, modify, or abbreviate any part of the Debtor's name); if any part of the Individual Debtor's name will not fit in line 2b, leave all of item 2 blank, check here ☐ and provide the Individual Debtor information in item 10 of the Financing Statement Addendum (Form UCC1Ad)

2a. ORGANIZATION'S NAME				
OR				
2b. INDIVIDUAL'S SURNAME	FIRST PERSONAL NAME	ADDITIONAL NAME(S)/INITIAL(S)		SUFFIX
2c. MAILING ADDRESS		CITY	STATE	POSTAL CODE
				COUNTRY

3. SECURED PARTY'S NAME (or NAME of ASSIGNEE of ASSIGNOR SECURED PARTY): Provide only one Secured Party name (3a or 3b)

3a. ORGANIZATION'S NAME				
OR				
3b. INDIVIDUAL'S SURNAME Babcock	FIRST PERSONAL NAME James	ADDITIONAL NAME(S)/INITIAL(S) V.		SUFFIX
3c. MAILING ADDRESS 100 Shoreline Hwy., Ste. B280		CITY Mill Valley	STATE CA	POSTAL CODE 94941
			COUNTRY USA	

4. COLLATERAL: This financing statement covers the following collateral:

See Attachment A.

5. Check <u>only</u> if applicable and check <u>only</u> one box: Collateral is <input type="checkbox"/> held in a Trust (see UCC1Ad, Item 17 and Instructions) <input type="checkbox"/> being administered by a Decedent's Personal Representative	
6a. Check <u>only</u> if applicable and check <u>only</u> one box: <input type="checkbox"/> Public-Finance Transaction <input type="checkbox"/> Manufactured-Home Transaction <input type="checkbox"/> A Debtor is a Transmitting Utility	
6b. Check <u>only</u> if applicable and check <u>only</u> one box: <input type="checkbox"/> Agricultural Lien <input type="checkbox"/> Non-UCC Filing	
7. ALTERNATIVE DESIGNATION (if applicable): <input type="checkbox"/> Lessee/Lessor <input type="checkbox"/> Consignee/Consignor <input type="checkbox"/> Seller/Buyer <input type="checkbox"/> Bailee/Bailor <input type="checkbox"/> Licensee/Licenser	
8. OPTIONAL FILER REFERENCE DATA: 56225.11	

**Attachment A
to UCC-1
of
Warner Babcock Institute for Green Chemistry LLC (Debtor)
and
James V. Babcock (Secured Party)**

DESCRIPTION OF COLLATERAL SECURITY

All of the Debtor's rights in and to Intellectual Property, as defined below, including without limitation all proceeds thereof (such as, by way of example but not by way of limitation, license royalties and proceeds of infringement suits), the right to sue for past, present and future infringements, all rights corresponding thereto throughout the world and all re-issues, divisions continuations, renewals, extensions and continuations-in-part thereto (the "Collateral"); provided, however, that (i) Collateral shall not include such Intellectual Property rights to the extent they have been transferred, whether by way of sale, grant, license or otherwise, to, or are the property of, third parties pursuant to contractual arrangements made by Debtor in the ordinary course of Debtor's business in connection with Research & Development or other services agreements entered into between the Debtor and clients of Debtor on an arms-length fee for services basis ("Ordinary Course Contracts"), whether prior to or after the date hereof; and (ii) Secured Party's rights to Intellectual Property shall be subject to the rights of such third parties arising out of such Ordinary Course Contracts.

"Intellectual Property" shall mean, whether or not reduced to writing, Know-How, trade secrets, Patent Rights, designs and design registrations, copyright and copyright registrations, registered and unregistered trademarks, service marks and trade names, moral rights and other rights of attribution, and the benefit (subject to the burden) of any and all agreements and licenses (where such agreements permit the creation of security interests) in connection with any of the foregoing).