

U.S. DEPARTMENT OF ENERGY
NOTICE OF FINANCIAL ASSISTANCE AWARD
(See Instructions on Reverse)

Under the authority of Public Law 95-91, Department of Energy Organization Act of 1977 and Public Law 97-258, Federal Grants and Cooperative Agreements and subject to legislation, regulations and policies applicable to (cite legislative program title): _____

1. PROJECT TITLE Solid State Energy Conversion Alliance	2. INSTRUMENT TYPE <input type="checkbox"/> GRANT <input checked="" type="checkbox"/> COOPERATIVE AGREEMENT	
3. RECIPIENT (Name, address, zip code, area code and telephone no.) To All Prospective Offerors	4. INSTRUMENT NO. DE-PS26-00NT40854	5. AMENDMENT NO. 005
	6. BUDGET PERIOD FROM: THRU:	7. PROJECT PERIOD FROM: THRU:
8. RECIPIENT PROJECT DIRECTOR (Name and telephone no.)	10. TYPE OF AWARD <input checked="" type="checkbox"/> NEW <input type="checkbox"/> CONTINUATION <input type="checkbox"/> RENEWAL <input type="checkbox"/> REVISION <input type="checkbox"/> SUPPLEMENT	
9. RECIPIENT BUSINESS OFFICER (Name and telephone no.)		
11. DOE PROJECT OFFICER (Name, address, zip code, telephone no.)	12. ADMINISTERED FOR DOE BY (Name, address, zip code, telephone no.)	

13. RECIPIENT TYPE

<input type="checkbox"/> STATE GOV'T	<input type="checkbox"/> INDIAN TRIBAL GOV'T	<input type="checkbox"/> HOSPITAL	<input type="checkbox"/> FOR PROFIT ORGANIZATION	<input type="checkbox"/> INDIVIDUAL
<input type="checkbox"/> LOCAL GOV'T	<input type="checkbox"/> INSTITUTION OF HIGHER EDUCATION	<input type="checkbox"/> OTHER NONPROFIT ORGANIZATION	<input type="checkbox"/> C <input type="checkbox"/> P <input type="checkbox"/> SP	<input type="checkbox"/> OTHER (Specify) _____

14. ACCOUNTING AND APPROPRIATIONS DATA:				15. EMPLOYER I.D. NUMBER
a. Appropriation Symbol	b. B&R Number	c. FT/AFP/OC	d. CFA Number	

16. BUDGET AND FUNDING INFORMATION	
a. CURRENT BUDGET PERIOD INFORMATION	b. CUMULATIVE DOE OBLIGATIONS
(1) DOE Funds Obligated This Action \$ _____ (2) DOE Funds Authorized for Carry Over \$ _____ (3) DOE Funds Previously Obligated in this Budget Period \$ _____ (4) DOE Share of Total Approved Budget \$ _____ (5) Recipient Share of Total Approval Budget \$ _____ (6) Total Approved Budget \$ _____	(1) This Budget Period \$ _____ [Total of lines a.(1) and a.(3)] (2) Prior Budget Periods \$ _____ (3) Project Period to Date \$ _____ [Total of lines b.(1) and b.(2)]

17. TOTAL ESTIMATED COST OF PROJECT \$ _____
(This is the current estimated cost of the project. It is not a promise to award nor an authorization to expend funds in this amount.)

18. AWARD AGREEMENT TERMS AND CONDITIONS
 This award/agreement consists of this form plus the following:

a. Special terms and conditions.

b. Applicable program regulations (specify) _____ (Date) _____.

c. DOE Assistance Regulations, 10 CFR Part-600, as amended.

d. Application/proposal dated _____, as submitted with changes as negotiated.

19. REMARKS

(SEE PAGE 2 FOR DESCRIPTION)

20. EVIDENCE OF RECIPIENT ACCEPTANCE _____ (Signature of Authorized Recipient Official) (Date) _____ (Name) _____ (Title)	21. AWARDED BY _____ Original Signed 1/16/02 (Signature) (Date) D. Denise Riggi (Name) _____ Contracting Officer (Title)
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AMENDMENT 005
UNDER PROGRAM SOLICITATION NO. DE-PS26-00NT40854

The purpose of the subject amendment is to update the Volume I application instructions:

1. The following paragraph is hereby added under Article 3.4, "VOLUME I - FINANCIAL APPLICATION DOCUMENT PREPARATION INSTRUCTIONS (JULY 2000)."

"16. PROJECT TEAM AGREEMENTS

The proposed project team must be identified and firmly committed to fulfilling its proposed role in the project.

The project team should be made up of those organizations or parties responsible for accomplishing the project. The project team includes the legal entity responsible for the project (i.e., the prospective Participant), technology licensors, and other third parties identified in this application (excluding financial institutions) who are essential to the successful completion of the proposed project. Where a legal entity has been or will be created to conduct the project, DOE will consider the participating organizations or parties (partners, joint venture members, etc.) as project team members.

The applicant shall provide from each member of the team a legally binding agreement, or letter of intent to reach such agreement, that explicitly states the role of the team member in the project and the nature of its business relationship for purposes of this project. These documents must be signed by a corporate official or other appropriate person authorized to legally bind these entities. These letters shall be included in Volume I of the application.

The Department recognizes that some of the Industrial Team applicants may be forming new legal entities, and some of those legal entities may not exist at the time of submission of applications. If the applicant is selected for negotiations leading to an award of a cooperative agreement, the legal entity of the proposed Industrial Team must be finalized prior to initiation of negotiations."

The preceding paragraph was inadvertently omitted when this Article was updated under Amendment 004.

End of Amendment 005.