

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. 003
		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 \$ _____	(1) This Budget Period \$ _____ <i>[Total of lines a.(1) and a.(3)]</i>
(2) DOE Funds Authorized for Carry Over \$ _____	(2) Prior Budget Periods \$ _____
(3) DOE Funds Previously Obligated in this Budget Period \$ _____	(3) Project Period to Date \$ _____ <i>[Total of lines b.(1) and b.(2)]</i>
(4) DOE Share of Total Approved Budget \$ _____	
(5) Recipient Share of Total Approval Budget \$ _____	
(6) Total Approved Budget \$ _____	

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		21. AWARDED BY	
_____ <i>(Signature of Authorized Recipient Official)</i>	_____ <i>(Date)</i>	_____ <i>(Signature)</i>	_____ <i>(Date)</i>
_____ <i>(Name)</i>		Raymond R. Jarr <i>(Name)</i>	
_____ <i>(Title)</i>		Contracting Officer <i>(Title)</i>	

**Amendment 003
under Program Solicitation No. DE-PS26-00NT40854**

The purpose of the subject amendment is to update the solicitation and to revise a DOE responses to a question submitted under the solicitation. Accordingly the following changes are hereby made:

1. Paragraph 12, PROJECT TEAM ARRANGEMENTS, contained under Article 3.4, VOLUME I - FINANCIAL APPLICATION DOCUMENT PREPARATION INSTRUCTIONS (JULY 2000) is deleted in its entirety and replaced with the following (Note that Paragraph 12 was incorporated into the solicitation via Amendment 002):

“12. 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.”

2. The DOE response previously provided in Amendment 002 to the following question is deleted in its entirety and replaced with the response below:

Question:

Our organization will be responding to the SECA RFP and we have a question regarding the prime contractor. We are currently in discussions with a public corporation to form and provide funding for a new corporate entity. The public corporation will hold significant equity in new corporate entity, as will our current organization, who will manage and be the controlling shareholder of new corporate entity for the foreseeable future. We would like to know if new corporate entity will be acceptable as prime for the SECA proposal. Also, since it is probable that new corporate entity will not legally exist by the submission date, we would like to propose that any award we may receive be subject to our current organization providing information regarding new corporate entity which is satisfactory to DOE at the time of contract negotiation. Thank you for your consideration.

DOE Response:

See Paragraph 1 of this amendment for a response.

END OF AMENDMENT 003