h. Other Direct Costs

PLEASE READ!!!

Other direct costs are direct cost items required for the project which do not fit clearly into other categories, and are not included in the indirect pool for which the indirect rate is being applied to this project. Examples are meeting costs, postage, couriers or express mail, telephone/fax costs, printing costs, etc.

Basis of cost are items such as vendor quotes, prior purchases of similar or like items, published price list, etc.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

General description	Cost	Basis of Cost	Justification of need
Budget Period 1			
EXAMPLE ONLY!!! Grad student tuition	$16,000	Established UCD costs	Support of graduate students working on project
		REDACTED EXEMPTION 4	
Budget Period 1 Total			
Budget Period 2			
		REDACTED EXEMPTION 4	
Budget Period 2 Total			
Budget Period 3			
		REDACTED EXEMPTION 4	
Budget Period 3 Total			
PROJECT TOTAL			

Additional Explanations/Comments (as necessary)

i. Indirect Costs

	Budget Period 1	Budget Period 2	Budget Period 3	Total
Rate applied:				
Total indirect costs requested:				

REDACTED
EXEMPTION 4

A federally approved indirect rate agreement, or rate proposed supported and agreed upon by DOE for estimating purposes is required if reimbursement of fringe benfits is requested. Please check (X) one of the options below and provide the requested information if it has not already been provided as requested, or has changed. Calculate the indirect rate dollars and enter the total in the Section B., line 6.j. (Indirect Charges) of form SF 424A.

____ **There is a federally approved indirect rate agreement. A copy is provided with this application and will be provided electronically to the Contracting Officer for this project.**
(When this option is selected, a presentation of the budget that demonstrates the application of the approved rate, to arrive at the proposed indirect charges proposed should also be provided.)

X **There is no current, federally-approved indirect rate agreement.**
(When this option is checked, the entity preparing this form shall submit an indirect cost rate proposal in the format provided at the following website, or in a format that provides the same level of information and which supports the rate(s) being proposed for use in estimating the project. Go to https://www.eere-pmc.energy.gov/forms.aspx and select PMC 400.2 Sample Rate Proposal.)

Additional Explanations/Comments (as necessary)

REDACTED
EXEMPTION 4

Cost Share

PLEASE READ!!!

A detailed presentation of the cash or cash value of all cost share proposed for the project must be provided in the table below. Identify the source & amount of each item of cost share proposed by the award recipient and each sub-recipient or vendor. Letters of committment must be submitted for all third party cost share (other than award recipient).

Note that "cost-share" is not limited to cash investment. Other items that may be assigned value in a budget as incurred as part of the project budget and necessary to performance of the project, may be considered as cost share, such as: contribution of services or property; donated, purchased or existing equipment; buildings or land; donated, purchased or existing supplies; and/or unrecovered personnel, fringe benefits and indirect costs, etc. For each cost share contribution identified as other than cash, identify the item and describe how the value of the cost share contribution was calculated.

Funds from other Federal sources MAY NOT be counted as cost share. This prohibition includes FFRDC sub-recipients. Non-Federal sources include private, state or local Government, or any source not originally derived from Federal funds. Documentation of cost sharing commitments must be provided, if not already provided with the original application and they have not changed since its submission.

Fee or profit will not be paid to the award recipients or subrecipients of financial assistance awards. Additionally, foregone fee or profit by the applicant shall not be considered cost sharing under any resulting award. Reimbursement of actual costs will only include those costs that are allowable and allocable to the project as determined in accordance with the applicable cost principles prescribed in 10 CFR 600.127, 10 CFR 600.222 or 10 CFR 600.317. Also see 10 CFR 600.318 relative to profit or fee.

Add rows as needed. If rows are added, formulas/calculations may need to be adjusted by the preparer.

Organization/Source	Type (cash or other)	Cost Share Item	Budget Period 1 Cost Share	Budget Period 2 Cost Share	Budget Period 3 Cost Share	Total Project Cost Share
ABC Company **EXAMPLE ONLY!!!**	[redacted]	REDACTED EXEMPTION 4				

Organization/Source	Type (cash or other)	Cost Share Item	Budget Period 1 Cost Share	Budget Period 2 Cost Share	Budget Period 3 Cost Share	Total Project Cost Share
		REDACTED EXEMPTION 4				
		Totals				

Total Project Cost:

Cost Share Percent of Award:

Additional Explanations/Comments (as necessary)

REDACTED
EXEMPTION 4

Applicant Name: BlueFire Ethanol Fuels, Inc. (sub-recipient) Award Number: DE-FOA-0000096

Budget Information - Non Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. 81.087				$1,112,000		
2.						
3.					REDACTED EXEMPTION 4	
4.						
5. Totals		$0		$1,112,000		

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity (1)	(2)	(3)	(4)	Total (5)
a. Personnel					$667,200
b. Fringe Benefits					$111,200
c. Travel					$5,560
d. Equipment					$0
e. Supplies					$266,952
f. Contractual					$0
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)	$				
j. Indirect Charges					
k. **Totals** (sum of 6i-6j)	$				
7. Program Income					

REDACTED EXEMPTION 4

Section C - Non-Federal Resources

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) **Totals**
8. DE-FOA-0000096				
9.				
10.				
11.				
12. **Total** (sum of lines 8 - 11)				

REDACTED
EXEMPTION 4

Section D - Forecasted Cash Needs

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th quarter
13. Federal	$444,800	$111,200	$111,200	$111,200	$111,200
14. Non-Federal					
15. **Total** (sum of lines 13 and 14)					

REDACTED
EXEMPTION 4

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project

	Future Funding Periods (Years)			
(a) Grant Program	(b) First	(c) Second	(d) Third	(e) Fourth
16. DE-FOA-0000096				
17.				
18.				
19.				
20. **Total** (sum of lines 16-19)				

REDACTED
EXEMPTION 4

Section F - Other Budget Information

21. Direct Charges

23. Remarks

PMC123.1 - Budget Justification for SF 424A Budget

Instructions and Summary

Award Number: DE-FOA-0000096
Award Recipient: Bluefire (sub-recipient)

Date of Submission: 12/29/2009
Form submitted by: Solazyme
(May be award recipient or sub-recipient)

Please read the instructions on each page before starting.
If you have any questions, please ask your DOE contact. It will save you time!

On this form, provide detailed support for the estimated project costs identified on the SF-424A form (Budget).

- The dollar amounts on this page must match the amounts on the associated SF-424A.
- The award recipient and each sub-recipient with est

SUMMARY OF BUDGET CATEGORY COSTS PROPOSED
(Note: The values in this summary table are from entries made in each budget category sheet.)

CATEGORY	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Total Costs	Project Costs %	Comments (Add comments as needed)
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
Sub-recipient						
FFRDC						
Vendor						
Total Contractual						
g. Construction						
h. Other Direct Costs						
i. Indirect Charges						
Total Project Costs						

REDACTED
EXEMPTION 4

Additional Explanations/Comments (as necessary)

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

Applicant Name: Cherokee Pharmaceuticals LLC (sub-recipient) Award Number: DE-FOA-0000096

Budget Information - Non Construction Programs

OMB Approval No. 0348-0044

Section A - Budget Summary

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Demonstration of Integrated Biorefinery Operations	81.087		REDACTED EXEMPTION 4	$9,824,148		
2.						
3.						
4.						
5. Totals		$0		$9,824,148		

Section B - Budget Categories

6. Object Class Categories	Grant Program, Function or Activity (1)	(2)	(3)	(4)	Total (5)
a. Personnel					
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. **Totals** (sum of 6i-6j)					
7. Program Income					

REDACTED EXEMPTION 4

Previous Edition Usable

SF-424A (Rev. 4-92)
Prescribed by OMB Circular A-102

Authorized for Local Reproduction

Section C - Non-Federal Resources

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) **Totals**
8. Demonstration of Integrated Biorefinery Operations				
9.				
10.				
11.				
12. **Total** (sum of lines 8 - 11)				

REDACTED
EXEMPTION 4

Section D - Forecasted Cash Needs

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th quarter
13. Federal	$4,432,422	$228,215	$76,072	$0	$4,128,133
14. Non-Federal					
15. **Total** (sum of lines 13 and 14)					

REDACTED
EXEMPTION 4

Section E - Budget Estimates of Federal Funds Needed for Balance of the Project

(a) Grant Program	Future Funding Periods (Years) (b) First	(c) Second	(d) Third	(e) Fourth
16. Demonstration of Integrated Biorefinery Operations				
17.				
18.				
19.				
20. **Total** (sum of lines 16-19)				

REDACTED
EXEMPTION 4

Section F - Other Budget Information

21. Direct Charges

23. Remarks

CHEROKEE
PHARMACEUTICALS
A PROTALIX BIOTHERAPEUTICS COMPANY

Cherokee's indirect Rate Method.

Cherokee Pharmaceuticals LLC (Cherokee) is an active pharmaceutical ingredients (API) manufacturer located in Pennsylvania. Cherokee acquired the facility from Merck & Co., Inc. (Merck). The acquisition included a plant facility, land, machinery and equipment, inventory, operational employees, and a supply contract with Merck. Cherokee is an active tolling manufacturer of APIs for a number of human and animal health products. The company offers commercial manufacturing capabilities at market competitive prices. These market competitive prices include allocations for indirect expenses including Fringe Benefits, Plant Indirect Expenses and Corporate Indirect Expenses. These pooled expenses are allocated to the program as outlined in this memo. Cherokee is actively operating a competitive toll manufacturing business, and is therefore unable to disclose certain detailed historical indirect rate support to customers and partners, including Solazyme. Cherokee will provide information directly to the DOE upon request.

Fringe rate justification:

____ **A fringe benefit rate has been negotiated with, or approved by, a federal government agency. A copy of the latest rate agreement is included with this application, and will be provided electronically to the Contracting Officer for this project.**
(When this option is selected, a presentation of the budget that demonstrates the appliction of the approved rate, to arrive at the proposed fringes benefits dollars should also be provided.)

__x__ **There is not a current, federally approved rate agreement negotiated and available.**
(When this option is checked, the entity preparing this form shall submit a rate proposal in the format provided at the following website, or a format that provides the same level of information and which will support the rates being proposed for use in performance of the proposed project. Go to https://www.eere-pmc.energy.gov/forms.aspx and select PMC 400.2 Sample Rate Proposal.)

The Fringe pool is calculated using historical financials from Cherokee's General Ledger and includes: employee benefits, payroll taxes, workers' compensation, etc. The Fringe rate allocated to personnel charges in the program is 40%.

Indirect rate justification:

____ **There is a federally approved indirect rate agreement. A copy is provided with this application and will be provided electronically to the Contracting Officer for this project.**
(When this option is selected, a presentation of the budget that demonstrates the application of the approved rate, to arrive at the proposed indirect charges proposed should also be provided.)

__x__ **There is no current, federally-approved indirect rate agreement.**
(When this option is checked, the entity preparing this form shall submit an indirect cost rate proposal in the format provided at the following website, or in a format that provides the same level of information and which supports the rate(s) being proposed for use in estimating the project. Go to https://www.eere-pmc.energy.gov/forms.aspx and select PMC 400.2 Sample Rate Proposal.)

The Plant indirect pool includes expenses and activities incurred to operate the facility that are shared with other manufacturing operations and are therefore allocated on a per batch basis. Plant indirect expenses include: general utilities & waste water treatment, engineering, QA, technical operations, IT, environmental compliance, safety, security, OBE, administration, HR, finance, warehouse and generalt operations. The Plant Indirect rate is 21% of direct expenses for Cherokee and is calculated using historical financials from Cherokee's General Ledger.

The Corporate indirect pool includes all expenses and activities that are not directly assigned to individual projects and are not incurred on site at the pilot facility that are required for the successful execution of the project. The Corporate indirect rate of 7% is calculated using historical financials from Cherokee's General Ledger and includes: Corporate overhead, NRE, Business development, marketing and distribution.

PMC123.1 - Budget Justification for SF 424A Budget

Instructions and Summary

Award Number: DE-FOA-0000096
Award Recipient: Cherokee Pharmaceuticals LLC

Date of Submission: 12/29/2009
Form submitted by: Solazyme
(May be award recipient or sub-recipient)

Please read the instructions on each page before starting.
If you have any questions, please ask your DOE contact. It will save you time!

On this form, provide detailed support for the estimated project costs identified on the SF-424A form (Budget).

- The dollar amounts on this page must match the amounts on the associated SF-424A.
- The award recipient and each sub-recipient with estimated costs of $100,000 or more must complete this form and a SF-424A form.
- The total budget presented on this form and on the SF424A **must include both Federal (DOE), and Non-Federal (cost share) portions**, thereby reflecting TOTAL PROJECT COSTS proposed.
- For costs in each Object Class Category on the SF-424A, complete the corresponding worksheet on this form (tab at the bottom of the page).
- All costs incurred by the preparer's sub-recipients, vendors, contractors, consultants and Federal Research and Development Centers (FFRDCs), should be entered only in section f. Contractual. All other sections are for the costs of the preparer only.

SUMMARY OF BUDGET CATEGORY COSTS PROPOSED
(Note: The values in this summary table are from entries made in each budget category sheet.)

CATEGORY	Budget Period 1 Costs	Budget Period 2 Costs	Budget Period 3 Costs	Total Costs	Project Costs %	Comments (Add comments as needed)
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
Sub-recipient						
FFRDC						
Vendor						
Total Contractual						
g. Construction						
h. Other Direct Costs						
i. Indirect Charges						
Total Project Costs						

REDACTED
EXEMPTION 4

Additional Explanations/Comments (as necessary)

PMC 121.1
(07/2008)

U.S. DEPARTMENT OF ENERGY
PROJECT MANAGEMENT CENTER

PRE-AWARD INFORMATION SHEET

ALL INFORMATION REQUESTED ON THIS FORM MUST BE PROVIDED

Awardee Name:	Solazyme, Inc.
Award Number:	DE-FOA-0000096
Awardee Business Officer:	Jonathan Wolfson
Awardee Project Director:	David Brinkmann

Employer/Taxpayer Identification Number (EIN/TIN):	33-1077078
Data Universal Numbering System (DUNS):	145862012

For assistance in obtaining a DUNS Number, call Dunn & Bradstreet at 1-800-333-0505.
The Applicant should be prepared to provide the following information to Dunn & Bradstreet:
(1) Company name
(2) Company address
(3) Company telephone number
(4) Line of business
(5) Chief executive officer/key manager
(6) Date the company was started
(7) Number of people employed by the company
(8) Company affiliation

Note: Awardee Name, EIN/TIN and DUNS MUST coincide with the Awardee's information recorded in the Central Contract Registry (CCR).

A. TYPE OF BUSINESS - the Awardee is a:

- ☐ For-Profit Organization (Other than Small Business)
  - ☐ Corporation
  - ☐ Partnership
  - ☐ Sole Proprietorship
- ☐ Government
  - ☐ Local Government
  - ☐ State Government
  - ☐ Indian Tribal Government
- ☐ Individual
- ☐ Institution of Higher Education
- ☐ Other NonProfit Organization
- ☒ Small Business
- ☐ Other (specify):

If NonProfit, select one below:

☐ A university or other institution of higher education or an organization of the type described in Section 501(c)(3) of the Internal Revenue Code of 1954 (26 USC 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 USC 501(a)); or

☐ An organization of the type described in Section 501(c)(4) of the Internal Revenue Code of 1954 (26 USC 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 USC 501(a)); or

☐ An organization of the type described in Section 501(c)(6) of the Internal Revenue Code of 1954 (26 USC 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 USC 501(a)); or

☐ A nonprofit scientific or educational organization qualified under a State nonprofit organization statute. (Please identify the statute.); or

☐ Other (specify type):

Is the Applicant a member of the Federal Demonstration Partnership (FDP)? ☐ Yes ☐ No
A listing of FDP members is available at http://www.thefdp.org/FDP_Members.html.

B. INTELLECTUAL PROPERTY

1. WAIVER OF DOE PATENT RIGHTS

This section applies only to large businesses and nonprofits other than 501(c)(3) organizations. All others should leave this subsection blank and proceed to the "Rights in Application Data" subsection that follows. Large businesses and nonprofits other than 501(c)(3) organizations have the right to request, in advance or within 30 days after execution of an award, in accordance with applicable statutes and DOE Patent Waiver Regulation (10 CFR 784), a waiver of all or any part of the rights of the United States in Subject Inventions. Accordingly, please check all that apply:

☐ I intend to request an advance waiver in accordance with 10 CFR 784.
☐ I intend to request an advance waiver on behalf of one or more subrecipients/subcontractors.
☐ I have at least one subrecipient/subcontractor that will request a waiver on its own behalf.
☐ I do not intend to request an advance waiver.

2. RIGHTS IN APPLICATION DATA

For an award based on an application/proposal, the Government will obtain unlimited rights in the technical data contained in the application/proposal, unless the Awardee marks those portions of the technical information which it asserts as "proprietary data" or specifies those portions of such technical data which are not directly related to or will not be utilized in the work to be funded under this award.

Accordingly, please indicate:

☐ No restrictions on Government rights in technical data contained in the application/proposal; or

☒ The application/proposal contains the following identified technical data that is proprietary, or is not directly related to, or will not be utilized in the work to be funded under this award.

Please list specific page numbers, table numbers, etc., and the dated version of the application/proposal to which you refer: See 091222_Solazyme_AttachmentA_PreAwardInfoSheet_PMC121.1_SectionB2.pdf

3. IDENTIFICATION OF LIMITED RIGHTS DATA AND RESTRICTED COMPUTER SOFTWARE

Below, please identify any Limited Rights Data or Restricted Computer Software you plan to use to carry out your work under the award. Limited Rights Data means data (other than computer software) developed at private expense that embody trade secrets or are commercial or financial, and confidential or privileged. Restricted Computer Software means computer software developed at private expense and that is a trade secret, is commercial or financial, and confidential or privileged, or is published, copyrighted computer software, to include modifications of the computer software.

Please note that these data do not include data that you will produce under this award. Data that is first produced under this award is treated separately under the data rights clause of this award. This section covers only those data that you bring into this award that were privately funded.

If you plan to use Limited Rights Data or Restricted Computer Software under the award, please describe it in a few sentences or bullets, with sufficient detail that the DOE Project Officer can determine whether DOE will need to have any of it delivered, for example, to validate your results or the data produced under the award. You are not required to list issued patents or published patent applications. You do need to list unpublished patent applications (by title and brief description) and trade secret processes (by non-proprietary title with brief, non-proprietary description). If you have questions regarding the completion of this section, please contact the Contract Specialist handling your award.

Based on the above, please review the requirements in the technical scope of work for this award and indicate, to the best of your knowledge:

☐ No Limited Rights Data will be utilized in the performance of this award.

☒ Limited Rights Data as follows will be utilized in the performance of this award.

Use this block to provide additional information or provide an attachment: See 091221_Solazyme_AttachmentB_PreAwardInfoSheet_PMC121.1_SectionB3.pdf

Based on the above, please review the requirements in the technical scope of work for this award and indicate, to the best of your knowledge:

☒ Awardee Restricted Computer Software will NOT be utilized in the performance of this award.

☐ Awardee Restricted Computer Software as follows will be utilized in the performance of this award.

Use this block to provide additional information or provide an attachment:

C. PROJECT PERFORMANCE SITE and CONGRESSIONAL DISTRICT

List the address and congressional district for the primary site where the work will be performed:

Street Address:	**Cherokee Pharmaceuticals, LLC, 100 Avenue C, P.O. Box 367**
City:	**Riverside**
State:	**PA**
Zip:	**17868**
Congressional District:	10th Congressional District in Pennsylvania

If a portion of the work will be performed at any other site(s), identify those site(s) below, and indicate what portion of the effort will be performed at this/these site(s):

Street Address:	Solazyme, 201 Gateway Boulevard
City:	South San Francisco
State:	CA
Zip:	94080
Congressional District:	12th Congressional District in California

Briefly describe portion of effort for this Site:	Optimization of fermentation parameters at laboratory scale to support integrated pilot operations at SzIBR

Street Address:	UOP, 5200 Underwood Road
City:	Pasadena
State:	TX
Zip:	77507
Congressional District:	22nd Congressional District in Texas

Briefly describe portion of effort for this Site:	Production of renewable diesel from algal oil

Street Address:	REG, 3426 East 28th St N
City:	Newton
State:	IA
Zip:	50208
Congressional District:	3rd Congressional District in Iowa

Briefly describe portion of effort for this Site:	Production of biodiesel from algal oil

D. INVOICING AND PAYMENTS

1. Has the Awardee received any prior DOE awards administered by the Golden Field Office (GO)?

☐ Yes

If yes, please list the most recent award number: _____

☒ No

2. Is the Awardee currently enrolled with the U.S. Department of Treasury / ASAP system (Automated Standard Application for Payment System) under the DOE / Golden Field Office (GO) Agency Locator Code (ALC) and Region Code (#8900-0001-04)?

☐ Yes

Enter Awardee Seven-digit ASAP ID Number: _____

☒ No

3. Please provide the following contact information for ASAP and/or Payments:

IMPORTANT: If not currently enrolled in the ASAP system under GO's ALC and Region Code, the person identified below will be contacted by the U.S. Department of Treasury with further instruction on completing the ASAP enrollment process.

ASAP / Payments Contact Person: **Yelena Popova**

Phone No.: **650-963-5215** Extension: **N/A** E-mail: **ypopova@solazyme.com**

4. Indicate preferred payment method below: (NOTE: this section is reserved for universities, hospitals, other non-profit organizations and state and local governments that are authorized Advance Payment Procedures, unless a specific need is supported. All other entities desiring advance payment should discuss with the DOE Award Administrator.)

☐ Payment by Advance is preferred. (SF 272 reporting will be required.)
☐ Payment by Reimbursement is preferred. (SF 272 reporting will not be required.)

5. Indicate the name, phone number, and email address of the Designated Responsible Employee for complying with national policies prohibiting discrimination (see 10 CFR 1040.5 and the Certifications and Assurances found at http://management.energy.gov/documents/CERTSASSUR.doc).

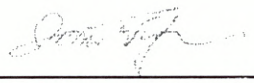
Lisa Roslund	**650-963-5211**
Name	Telephone Number
Director, Human Resources	**lroslund@solazyme.com**
Title	Email Address

REPRESENTATION/CERTIFICATION

I represent by my signature below that all the information provided by this form is accurate.

Name: Jonathan Wolfson

Title: Chief Executive Officer

Signature of Authorized Company Official: 

Date: December 22, 2009

Attachment A

Solazyme, Inc. considers its entire Application entitled, "Solazyme's Integrated Biorefinery (SzIBR): Diesel Fuels from Heterotrophic Algae" in response to DE-FOA-0000096 to be technical data that is proprietary to Solazyme, Inc., except for the following files:

- "Summary.pdf" that contains the Project Summary/Abstract File for this Project.
- "091221_Solazyme_PMC134_1_StatementOfProjectObjectives.pdf" that contains the Statement of Project Objectives for this Project
- "091223_IBR_ARRAprojects_Solazyme.pdf" that contains a Project Description for posting to the DOE website

Specifically, the following submissions are to be considered Proprietary Data and the Government in their entirety, except for the file referenced above, and hereby request that DOE shall treat such submissions as Limited Rights Data.

Title	Submission Date
Entire Solazyme Application under DE-FOA-0000096 entitled "Solazyme's Integrated Biorefinery (SzIBR): Diesel Fuels from Heterotrophic Algae," except for the Project Summary/Abstract File. See below for the specific document names/file names.	Original submission: dated June 29, 2009 (PST), and received by DOE on June 30, 2009 (EST)
Document entitled "Solazyme's Integrated Biorefinery (SzIBR): Diesel Fuels from Heterotrophic Algae"; DE-FOA 0000096—Budget Clarification Submission. See below for specific document	Submitted to DOE September 27, 2009

names/file names	
Oral presentation and accompanying slides/reference materials	Oral presentation date: October 9, 2009 and slide deck submission prior to oral presentation.
Financial Assistance Pre-Award Information Sheet, PMC 121.1	Part of Pre-Award submission on December 23, 2009; File name: 091222_Solazyme_PreAward InfoSheet_PMC121_1.pdf
Financial Information, PMC 410.1 with DCAA Audit Attachment	Part of Pre-Award submission on December 23, 2009; File names: 091210_Solazyme_Financial_Information_ Request_PMC410_1.pdf 091223_Solazyme_Attachment_PMC410_1_ DCAA_Audit_04281_2009A17740010.pdf
Representation of Limited Rights Data and Restricted Computer Software	Part of Pre-Award submission on December 23, 2009; File names: 091222_Solazyme_AttachmentA_PreAwardInfoSheet_PMC121_1_ SectionB2.pdf 091221_Solazyme_AttachmentB_PreAwardInfo Sheet_PMC121_1_SectionB3.pdf
Environmental Checklist, EF1	Part of Pre-Award submission on December 23, 2009; File names: 091222_EF1.doc Solazyme_Environmental questionnaire for FOA application.pdf Solazyme_PEP_Section8_NEPA.pdf
Letters of Commitment	Originally submitted as part of Solazyme Application under DE-FOA-0000096 on June 29, 2009 (PST). Resubmitted as part of Pre-Award submission on December 23, 2009; File names, see below.
Indirect Rate Agreement of a Rate Proposal	Originally submitted on September 27, 2009 as part of the Budget Clarification Submission. See below for file name.

Documents submitted as part of Solazyme Application under DE-FOA-0000096 entitled "Solazyme's Integrated Biorefinery (SzIBR): Diesel Fuels from Heterotrophic Algae", submitted June 29, 2009 (PST).	
Name of Document	**File Name**
SF 424- Application for Federal Assistance	Solazyme-Application for Federal Assistance.pdf
Project/Performance Site Location	PPSL.doc
Project Narrative File, including Project Narrative Cover Sheet.	Project.pdf
Resume file	Resume.pdf
SF 424A Excel—Budget Information for Non-Construction Programs File	SF424A.xls
Budget Justification File	1. BudgetJustification.xls 2. Indirect Rate Justification.doc

Letters of Commitment	1. ABNT support letter.pdf 2. Cherokee cost share letter.pdf 3. UOP support letter.pdf
Subaward Budget Files	1. Abengoa_budgetjustification.xls 2. Abengoa424.xls 3. bluefire_budgetjustification.xls 4. bluefire424.xls 5. bluefire_justification.doc 6. cherokee424.xls 7. Cherokee_budgetjustification.xls 8. Cherokee_indirect rate justification.doc 9. uop424.xls 10. uop_budgetjustification.xls
Environmental Questionnaire	Enviro.pdf
Project Management Plan	PMP.pdf
Histrorical, Current and Planned Technical and Financial Data	TechandFinData.xls
Business and Commercialization Plan	BusComPlan.pdf
Pro forma	Proforma.xls
IP Statement and Supporting Documentation	ProjectIP.pdf
Process Flow Diagram and Supporting Data	PFD_Data.pdf
Life-Cycle GHG Emission Reduction Data	LCA_GHG.xls
Petroleum Displacement Analysis	Petro.doc
Project Execution Plan	ProjExecPlan.pdf

Documents submitted as part of "Solazyme's Integrated Biorefinery (SzIBR): Diesel Fuels from Heterotrophic Algae"; DE-FOA 0000096—Budget Clarification Submission.	
Name of Document	**File Name**
Cover letter from Tony Day	Solazyme Budget Clarification.doc
PMC123.1-Budget Justification for SF 424A Budget (Sub-recipient UOP)	Solazyme_uop_budgetjustification_revB.xls
PMC123.1- Budget Justification for SF 424A Budget (Solazyme Indirect Costs)	Solazyme_BudgetJustification_revB.xls
Explanation to Indirect Rate Justification Spreadsheet	Solazyme_IndirectRateJustification_revB.doc
PMC123.1- Budget Justification for SF 424A Budget (Solazyme Other Direct Costs)	Solazyme_reg_budgetjustification_revA.xls

Solazyme, Inc. Proprietary Information

Attachment B

Limited Rights Data that will be utilized in the performance of this award include the following:

Part 1. Unpublished Patent Applications	
Title	**Brief Description**

REDACTED
EXEMPTION 4

REDACTED

FOIA EXEMPTION 4

PMC 460.2
(09/06)

U.S. DEPARTMENT OF ENERGY – RISK ASSESSMENT

SECTION I – To be completed by the Specialist and forwarded to D&B Coordinator

Name of Requestor:	Molly Hames	**Date of Request:**	12/16/2009
Awardee Name:	Solazyme, Inc.	**Award No.**	DE-EE0002877
Street Address:	561 Eccles Avenue	**Project Title**	Solazyme Integrated Biorefinery (SzIBR): Diesel Fuels from Heterotrophic Algae
City/State/ZIP:	South San Fransisco, CA, 94080-1906	**DUNS Number:**	14-586-2012
Business Contact:	Anthony Day	**Phone Number:**	650-780-4777

☐ The Recipient has been selected for Award. Please pull a Dun & Bradstreet (D&B) Business Information Report (BIR). This report should be requested on all For Profit and Non-Profit Recipients with awards > $100K (DOE) (excluding Educational Institutions, Tribal Nations, or State and Local Governments). *This form should be used for new awards, renewals and continuations.*

☒ The Recipient is a Small Business entity and a D&B BIR report was pulled which identified a 4 rating. Please pull D&B Small Business Risk Account Scoring Report. The PMC460.3 "Authorization For Consumer Report Information" is properly signed and attached.

☐ The Recipient has requested reassessment due to changed situation. Date of initial report was: _____. A new PMC460.3 "Authorization For Consumer Report Information" is properly signed and attached. *(Note: A reassessment may be requested no sooner than 6 months after initial D&B report date)*

SECTION II -To be completed by D&B Coordinator

Type of D&B Report Pulled
☒ Business Information Report (BIR)
☐ Small Business Scoring Report (SBRASR) (PMC460.3 required)
Proper Authorization Verified Initial:_____

Report Pulled By:
Name: **Carlo DiFranco**
Date: **12/16/2009**
Electronic File Name: **PMC Shared Docs/Risk Assess/DB Reports/SOLAZYME, INC_121619.doc**

Comments:

D&B SCORE: **1R3**

SECTION III - To Be Completed by FOA/Congressional Directed Project Specialist

The Specialist will make a risk assessment recommendation based on the following criteria.

All Recipients: Recipient is **not At Risk** if the last digit of the BIR Score is a 1, 2, or 3,

Other than Small Business: Recipient is **At Risk** if the last digit of the BIR Score is a 4, or there is no score and instead is a letter code or --

Small Business: If last digit of the BIR Score is 4, request a SBRASR report. If the SBRASR score is between 0 and 15, Recipient is **At Risk**.
If the SBRASR score is between 16 and 30, Recipient is **At Risk**, but may not require as high of a level of monitoring.
If the SBRASR score is greater than 30, Recipient is **not At Risk**.
If there is an unexpected event or material item discovered which will impact the assessment, further analysis may be required. (i.e. information received in conversation with the recipient)

Awardee Risk Determination

☐ At Risk (Include the **"At Risk"** provision in the Terms and Conditions of the Award. Follow-up is required if any Action Items are checked below)

☒ Not At Risk (No Further Action Required)

Action Items/Recommendations:

☐ Awardee requires on-going monitoring: Activate D&B Customer Watch Alert Monitoring Service and forward the results to the Specialist.
☐ CP Analysis required on additional information received (i.e. Financial Statements, SBRASR Reports)*
☐ Other:_____

Comments: The Recipient will be put on ACH payment terms.

Assessment Completed by: Molly Hames, Grants and Agreements Specialist Date: 12/16/2009
[Enter Name, Title]

Specialists: Forward this form, or the results (including Recipient Name, DUNS, Award No., and Y/N At-Risk Determination), to the D&B Coordinator, who will update the Tracking Log and activate the D&B Customer Watch, if applicable. Place this form in the Award File, along with the first page of the D&B Report containing the score. *The Specialist shall initiate a PMC 420.3 form if CP analysis is required (GO only).

To save report(s) to your PC, click here for instructions. Print this Report

D&B Business Information Report: SOLAZYME, INC.

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ATTN: Carlo DiFranco
Report Printed: DEC 16 2009
In Date

* * * BUSINESS SUMMARY * * *

SOLAZYME, INC.
561 Eccles Ave
Moved From: 571 Eccles Ave, South San Francisco, Ca
South San Francisco, CA 94080

This is a single location.		D-U-N-S® Number:	14-586-2012
Web site:	www.solazyme.com	D&B Rating:	1R3
Telephone:	650 871-4810	Number of employees:	1R is 10 or more employees.
Chief executive:	JONATHAN WOLFSON, CEO	Composite credit appraisal:	3 is fair.
Year started:	2004		
Employs:	33	D&B PAYDEX®:	
History:	CLEAR	12-Month D&B PAYDEX:	76
Financing:	SECURED		
SIC:	8731	When weighted by dollar amount, payments to suppliers average 6 days beyond terms.	
Line of business:	Commercial physical research	Based on trade collected over last 12 months.	

* * * SPECIAL EVENTS * * *

PMC 410.1
(07/06)

U.S. DEPARTMENT OF ENERGY
PROJECT MANAGEMENT CENTER

FINANCIAL INFORMATION

PROVIDE ALL INFORMATION REQUESTED ON THIS FORM

Applicant: Solazyme, Inc.

Project Title: **Solazyme Integrated Biorefinery (SzIBR): Diesel Fuels from Heterotrophic Algae**

Announcement/Award No: **DE-FOA-0000096**

1. Have you had prior Federal awards? ☒ Yes ☐ No

2. Have you had an outside audit or an A-133 audit? ☒ Yes ☐ No
If yes, please provide a copy of the A-133 or outside audit (electronic preferred).

INFORMATION FOR DETERMINING COGNIZANT AGENCY/OFFICE

3. Applicant's fiscal year end date is December 31

4a. Identify Cognizant **Federal Agency** (agency providing the preponderance of Federal funding), and provide Agency name, a point of contact, phone number, and e-mail.

Agency: Defense Logistics Agency
Point of Contact: Mr. John Dormer
Phone: 215-737-2284
E-mail: john.dormer@dla.mil

4b. To assist our office in validating Cognizant **Federal Agency** (4a), please provide following information for the 5 highest dollar award value for current Federal contracts, grants or awards (do not include sub-awards). (State Agencies and Universities can skip 4b)

Contract/Award #	Awarding Agency	Awarding Office	Start Date	End Date	Total Value
SP 4701-09-C-0040	DLA	Philadelphia	8/31/09	8/30/10	$8.574M
SP 0600-09-R-0704	DESC	Fort Belvoir, VA	9/1/09	7/30/10	$223K

5a. If applicant has current DOE awards, identify Cognizant **DOE Office** (office providing the preponderance of DOE funding), and provide DOE office name, a point of contact, phone number, and e-mail.

DOE Office:
Point of Contact (Contracting Officer):
Phone:
E-mail:

5b. To assist our office in validating Cognizant **DOE Office** (5a), please provide following information for the 5 highest dollar value awards for current DOE contracts, grants or awards (do not include sub-awards). (State agencies and Universities can skip 5b)

DOE Contract/Award #	DOE Awarding Office	Start Date	End Date	Total Value

FINANCIAL MANAGEMENT SYSTEM

To qualify for Financial Assistance, compliance with 10 CFR 600.121 - Higher Education, Hospitals, and Other Non-Profit Organizations, 10 CFR 600.220(b) - State and Local Governments or 10 CFR 600.311 - For-Profit Organizations is required. Please check applicable boxes below.

☒ The Financial Management System is in compliance with 10 CFR 600.121, 10 CFR 600.220(b), or 10 CFR 600.311.

☐ I do not know if my Financial Management System is in compliance with 10 CFR 600.121, 10 CFR 600.220(b), or 10 CFR 600.311. If this block is checked, complete the survey below.

Accounting System Survey

	Yes	No	NA
1. Is your Accounting System in accordance with Generally Accepted Accounting Principles applicable to the circumstances?	☐	☐	☐
2. Accounting System provides for:			
a. Segregation of direct costs from indirect costs.	☐	☐	☐
b. Identification and accumulation of direct costs by project.	☐	☐	☐
c. A logical and consistent method for the allocation of indirect costs to intermediate and final cost objectives. (Project is final cost objective)	☐	☐	☐
d. Accumulation of costs under general ledger control.	☐	☐	☐
e. A timekeeping system that identifies employees' labor by intermediate and final cost objectives.	☐	☐	☐
f. A labor distribution system that charges direct and indirect labor to appropriate cost objectives.	☐	☐	☐
g. Interim (at least monthly) determination of costs charged to a project through routine posting of books of account.	☐	☐	☐
h. Excluding costs charged to Government projects which are not allowable in terms of FAR 31, Contract Cost Principles and Procedures, or other provisions.	☐	☐	☐
i. Identification of costs by project line item and by units (as if each unit or line item were a separate project) if required by the proposed award.	☐	☐	☐
3. Is the Accounting System designed, and are the records maintained in such a manner that adequate, reliable data are developed for use in developing cost proposals?	☐	☐	☐
4. Is the Accounting System currently in full operation?	☐	☐	☐

Solazyme's indirect rate is calculated based on the PMC 400.2 Sample Indirect Rate Proposal – Two Rate Method (Fringe and Indirect Rate).

Fringe rate justification:

____	**A fringe benefit rate has been negotiated with, or approved by, a federal government agency. A copy of the latest rate agreement is included with this application, and will be provided electronically to the Contracting Officer for this project.** *(When this option is selected, a presentation of the budget that demonstrates the appliction of the approved rate, to arrive at the proposed fringes benefits dollars should also be provided.)*
X	**There is not a current, federally approved rate agreement negotiated and available.** *(When this option is checked, the entity preparing this form shall submit a rate proposal in the format provided at the following website, or a format that provides the same level of information and which will support the rates being proposed for use in performance of the proposed project. Go to https://www.eere-pmc.energy.gov/forms.aspx and select PMC 400.2 Sample Rate Proposal.)*

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EXEMPTION 4

Indirect rate justification:

____	**There is a federally approved indirect rate agreement. A copy is provided with this application and will be provided electronically to the Contracting Officer for this project.** *(When this option is selected, a presentation of the budget that demonstrates the application of the approved rate, to arrive at the proposed indirect charges proposed should also be provided.)*
X	**There is no current, federally-approved indirect rate agreement.** *(When this option is checked, the entity preparing this form shall submit an indirect cost rate proposal in the format provided at the following website, or in a format that provides the same level of information and which supports the rate(s) being proposed for use in estimating the project. Go to https://www.eere-pmc.energy.gov/forms.aspx and select PMC 400.2 Sample Rate Proposal.)*

REDACTED
EXEMPTION 4

REDACTED

FOIA EXEMPTION 4