

2/10/99

Docket No.: 1059AB

FCRM PTO-1595 (Modified)  
(Rev. 6-93)  
OMB No. 0651-0011 (exp. 4/94)  
Copyright 1996-97 LegalStar  
POBA/REV02

RECORDATION FO

02-17-1999

DEPARTMENT OF COMMERCE  
Patent and Trademark Office

**PATENT**



100909157

Tab settings → → → ▼

To the Honorable Commissioner of Patents and Trademarks, please record this document and its attachments or copy thereof.

1. Name of conveying party(ies):

HNA Holdings, Inc.

CORPORATION

2. Name and address of receiving party(ies):

Name: The Board of Trustees of The University of Alabama

Address: 401 Queen City Avenue

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

City: Tuscaloosa

State/Prov.: Alabama

Country: USA

ZIP: 35401-1551

Execution Date: January 21, 1999

Additional name(s) & address(es)

☐ Yes ☒ No

4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

Patent Application No.

Filing date

B. Patent No.(s)

5,059,510

issued

10/22/1991

Additional numbers

☐ Yes ☒ No

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

Name: George (Sandy) B. Gordon, Esq.

Registration No. \_\_\_\_\_

Address: The University of Alabama

222 Rose Administration Building

P.O. Box 870106

City: Tuscaloosa

State/Prov.: Alabama

Country: USA

ZIP: 35487-0106

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☒ Authorized to be charged to deposit account

8. Deposit account number:

03-1152 (credit/debit any excess or insufficiencies)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Michael A. Caputo - Reg. No. 24,237

Name of Person Signing

*Michael A. Caputo*

Signature

2/9/99

Date

Total number of pages including cover sheet, attachments, and

4

**PATENT**  
**REEL: 9534 FRAME: 0099**

ASSIGNMENT OF UNITED STATES PATENT

WHEREAS, HNA HOLDINGS, INC. (legal successor to Hoechst Celanese Corporation), a corporation organized and existing under the laws of the State of Delaware, having its principal place of business at 30 Independence Boulevard, Warren, New Jersey 07059, USA, is the owner of United States Patent No. 5,059,510, issued October 22, 1991 entitled CHROMOPHORE SUBSTITUTED WITH A FILM CONFERRING ORGANIC SUBSTITUENT", recorded on February 4, 1985 at Reel Number 4364, Frame Number 0920;

WHEREAS, HNA HOLDINGS, INC. has transferred said United States patent, including all foreign members of the same family of patent applications as listed on Schedule A, to The Board of Trustees of The University of Alabama, as a charitable contribution; and

WHEREAS, The Board of Trustees of The University of Alabama desires an Assignment of all rights to said United States patent.

NOW THEREFORE, HNA Holdings, Inc. hereby assigns to The Board of Trustees of The University of Alabama, 401 Queen City Avenue, Tuscaloosa, Alabama 35401-1551, its entire right, title and interest in and to said United States patent.

This Assignment is executed in Summit, New Jersey, on this 21<sup>ST</sup> day of January, 1999.

HNA HOLDINGS, INC. (legal  
successor to Hoechst Celanese  
Corporation)

By: Michael A. Caputo  
Michael A. Caputo  
Assistant Secretary

Agreed and Accepted  
this 28<sup>th</sup> day of JANUARY, 1999

THE UNIVERSITY OF ALABAMA

By: Robert A. Wright  
Robert A. Wright  
Title Vice President -  
Financial Affairs and Treasurer

*State of Delaware*  
**Office of the Secretary of State**

---

I, EDWARD J. FREEL, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE RESTATED CERTIFICATE OF "HOECHST CELANESE CORPORATION", CHANGING ITS NAME FROM "HOECHST CELANESE CORPORATION" TO "HNA HOLDINGS, INC.", FILED IN THIS OFFICE ON THE SECOND DAY OF JANUARY, A.D. 1998, AT 8:30 O'CLOCK A.M.

2/2/99

*I hereby certify  
this to be a true  
copy of the original  
Carol R. Maddaloni*

CAROL R. MADDALONI  
NOTARY PUBLIC OF NEW JERSEY  
MY COMMISSION EXPIRES MAY 19, 2003



*Edward J. Freel*

Edward J. Freel, Secretary of State

0070320 8100

981024017

AUTHENTICATION:

8875955

DATE:

01-21-98

**RESTATED CERTIFICATE OF INCORPORATION  
HOECHST CELANESE CORPORATION**

Hoechst Celanese Corporation, incorporated under the name "The American Cellulose & Chemical Manufacturing Company, Ltd." by the filing of its original Certificate of Incorporation with the Secretary of State on January 5, 1918, does hereby file this Restated Certificate of Incorporation which has been duly adopted by the Board of Directors and the sole Stockholder. The text of this Restated Certificate of Incorporation as heretofore amended or supplemented is hereby restated and further amended to read in its entirety as follows:

FIRST: The name of the Corporation is HNA HOLDINGS, INC.

SECOND: The address of the registered office of the Corporation in the State of Delaware is Corporation Trust Center, 1209 Orange Street in the City of Wilmington, County of New Castle. The name of its registered agent at such address is The Corporation Trust Company.

THIRD: The nature of the business and the objects and purposes proposed to be conducted or promoted by the Corporation, are to engage in any activity for which corporations may be organized under the General Corporation Law of Delaware.

FOURTH: The total number of shares of stock that the Corporation shall have authority to issue is ten thousand (10,000) shares of Common Stock, par value \$0.10 per share.

FIFTH: The Board of Directors is authorized to adopt, amend or repeal the By-laws of the Corporation.

SIXTH: Meetings of stockholders shall be held at such place, within or without the State of Delaware, as may be designated by or in the manner provided by the By-laws. The books of the Corporation may be kept (subject to any provision contained in the Delaware General Corporation Law) outside of the State of Delaware at such place or places as may be designated from time to time by the Board of Directors in the By-laws of the Corporation. Elections of directors need not be by written ballot unless and to the extent that the By-laws so provide.


SEVENTH: The Corporation reserves the right to amend, alter or repeal any provision contained in this Restated Certificate of Incorporation in the manner now or hereafter prescribed by statute, and all rights of stockholders herein are subject to this reservation.

EIGHTH: No director of the Corporation shall be personally liable to the Corporation or its stockholders for monetary damages for breach of fiduciary duty as a director; except for liability (i) for any breach of the director's duty of loyalty to the corporation or its stockholders, (ii) for acts or omissions not in good faith or which involve intentional misconduct or a knowing violation of law, (iii) under Section 174 of the General Corporation Law of the State of Delaware, or (iv) for any transaction from which the director derived an improper personal benefit.

This Restated Certificate of Incorporation was duly adopted by the sole stockholder in accordance with the provisions of Sections 242 and 245 of the Delaware General Corporation Law.


IN WITNESS WHEREOF, said HNA Holdings, Inc. has caused its corporate seal to be hereunto affixed and this certificate to be signed by David A. Jenkins, its President and attested by Julie K. Chapin, its Assistant Secretary, this 2<sup>nd</sup> day of January, 1998.

HNA HOLDINGS, INC.

By:   
David A. Jenkins  
President

ATTEST

By:

  
Julie K. Chapin  
Assistant Secretary

[SEAL]