

12-22-1998



To the Hon. Commissioner of Patents

100926258

Attached original documents or copy thereof.

## 1. Name of conveying party(ies):

James R. Heath  
Daniel V. LeffAdditional name of conveying party attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

06-18-98

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other

Execution Date: June 8, 1998 (both parties)

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

Name The Regents of the University of California

Internal Address:

Street Address: 300 Lakeside Drive, 22nd floor

City: Oakland State CA ZIP 94612-3550

Additional name(s) and address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent numbers:

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

A. Patent Application No.(s)

B. Patent No.(s)

PCT/US96/20402 International Filing Date 27 December 1996

Additional numbers attached?

☐ Yes☒ No

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

OPPENHEIMER WOLFF & DONNELLY, LLP  
2029 Century Park East, Suite 3800  
Los Angeles, CA 90067-3024  
Telephone: (714) 263-8250  
Facsimile: (714) 263-8260

Attn: Michael A. Kondzella

## 6. Total number of applications and patents involved: 1

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

☐ Enclosed☐ Authorized to be charged to deposit account

## 8. Deposit Account number:

16-2230

(Attach duplicate copy of this page if paying by deposit account)

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. Kondzella

Signature

Date

Name of Person Signing

Total number of pages including cover sheet, attachments, and document: 5

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments Washington, D.C.PATENT  
REEL: 9647 FRAME: 0775

15 REG PAT/FTO 18 JUN 1998

FORM PTO-1595

08-14-1998

COVER SHEET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office



09/091389

100793009

To the Hon. Commissioner of

One attached original documents or copy thereof.

1. Name of conveying party(ies):

James R. Heath  
Daniel V. Leff

Additional name of conveying party attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: \_\_\_\_\_

2. Name and address of receiving party(ies)

Name The Regents of the University of California

Internal Address: \_\_\_\_\_

Street Address: 300 Lakeside Drive, 22nd Floor

City: Oakland State CA ZIP 94612-3550

Additional name(s) and address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent numbers:

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

A. Patent Application No.(s)

B. Patent No.(s)

PCT/US96/20402 International Filing Date: 27 December 1996

Additional numbers attached? ☐ Yes ☒ No

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

Oppenheimer Poms Smith  
2029 Century Park East  
Los Angeles State CA ZIP 90067

Attn: Michael A. Kondzella

6. Total number of applications and patents involved: 1

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

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit Account number:

16-2230

(Attach duplicate copy of this page if paying by deposit account)

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. Kondzella

Name of Person Signing

Michael A. Kondzella  
Signature

June 17, 1998  
Date

Total number of pages including cover sheet, attachments, and document: 3

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments Washington, D.C.

PATENT  
REEL: 9647 FRAME: 0776

**ASSIGNMENT**

UC Case No. LA96-060-01  
OWD Docket No. 510030-122

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. James R. Heath                      2. Daniel V. Leff

hereby sells, assigns, and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 300 Lakeside Drive, 22nd Fl., Oakland, CA 94612-3550, and the successors, assigns, and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

**“Organically-Functionalized Monodisperse Nanocrystals of Metals”**

and which is found in

- (a) \_\_\_\_\_ U.S. provisional application filed herewith and listing the above named persons as inventors
- (b) \_\_\_\_\_ U.S. patent application filed herewith and listing the above named persons as inventors
- (c) \_\_\_\_\_ U.S. application serial no. \_\_\_\_\_ filed on \_\_\_\_\_
- (d)   X   PCT application International Application no. PCT/US96/20402 filed on 27 Dec 1996
- (e) \_\_\_\_\_ U.S. Patent No. \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all right under all International Convention for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known;

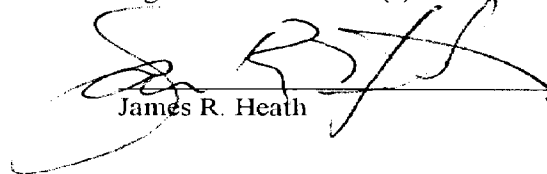
AND the ASSIGNOR(S) request the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

8 day of Nov, 1998

\_\_\_\_ day of \_\_\_\_\_, 1998

Signature of Inventor(s)

  
James R. Heath

\_\_\_\_\_  
Daniel V. Leff

**ASSIGNMENT**

UC Case No. LA96-060-01  
OWD Docket No. 510030-122

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. James R. Heath                      2. Daniel V. Leff

hereby sells, assigns, and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 300 Lakeside Drive, 22nd Fl., Oakland, CA 94612-3550, and the successors, assigns, and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

**“Organically-Functionalized Monodisperse Nanocrystals of Metals”**

and which is found in

- (a) \_\_\_\_\_ U.S. provisional application filed herewith and listing the above named persons as inventors
- (b) \_\_\_\_\_ U.S. patent application filed herewith and listing the above named persons as inventors
- (c) \_\_\_\_\_ U.S. application serial no. \_\_\_\_\_ filed on \_\_\_\_\_
- (d)   X   PCT application International Application no. PCT/US96/20402 filed on 27 Dec 1996
- (e) \_\_\_\_\_ U.S. Patent No. \_\_\_\_\_ issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all right under all International Convention for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known;

AND the ASSIGNOR(S) request the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California,

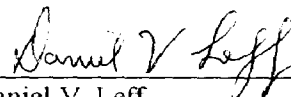
executed this

Signature of Inventor(s)

\_\_\_\_\_ day of \_\_\_\_\_, 1998

\_\_\_\_\_  
James R. Heath

8<sup>th</sup> day of June, 1998

  
Daniel V. Leff