

RECORDATION

03-31-1999

RECEIVED



To the Honorable Commissioner of Patents and Trademarks

101003762

Attachments or copy thereof.

## 1. Name of conveying party(ies)

- a) Jeffrey R. Mazzeo  
b) Edward R. Grover  
c) Michael E. Swartz  
d) Michael Merion  
e) John S. Petersen

OPR/FINANCE

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

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

Execution Date: a, b and c: 2/28/96; d: 3/18/96; e: 3/6/96

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

Name: Waters Investments Limited

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

Street Address: 1013 Centre Road

City: Wilmington State: DE ZIP: 19805

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

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

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

## A. Patent Application No.(s)

08/617,916

(U.S. National Phase of PCT/US94/10655, filed 9/20/94)

## B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: N. Scott Pierce

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

Hamilton, Brook, Smith &amp; Reynolds, P.C.

Street Address: Two Militia Drive

City: Lexington State: MA ZIP: 02421-4799

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

7. Total Fee (37 C.F.R. 3.41)..... \$ 40.00

- ☒ Enclosed  
☒ Authorized to charge any deficiencies or credit any overpayment to deposit account  
☐ Authorized to be charged to deposit account

## 8. Deposit account number:

08-0380

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

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## 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.

N. Scott Pierce

Name of Person Signing

Signature

Date

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

04/01/1999 JSABAZZ 00000071 0867916 40.00

FC:581

PATENT

REEL: 9844 FRAME: 0545

3/25/99

ASSIGNMENT

WHEREAS, we, Jeffrey R. Mazzeo, Edward R. Grover, Michael E. Swartz, Michael Merion and John S. Petersen have invented a certain improvement in **CHIRAL SURFACTANTS AND METHOD FOR THEIR USE IN CHIRAL SEPARATIONS** described in Patent Cooperation Treaty (PCT) International Application No.: PCT/US94/10655 filed on September 20, 1994, for which this is the U.S. National Phase; this application claims priority to USSN 08/124,681 filed on September 20, 1993; and

WHEREAS, Waters Investments Limited, (hereinafter "ASSIGNEE") a corporation organized and existing under the laws of the State of Delaware, and having a usual place of business at 1013 Centre Road, Wilmington, Delaware, 19805 desires to acquire an interest therein in accordance with agreements duly entered into with us;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, the entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said invention as described in said application, together with the entire right, title and interest in and to said application and such Letters Patent as may issue thereon; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by us had this assignment and sale not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. We hereby acknowledge that this assignment, being of the entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of the entire right, title and interest therein;

AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may

be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;

AND, we do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives;

IN TESTIMONY WHEREOF, we have hereunto set our hands and affixed our seals the date set forth below.

Inventor:

Jeffrey R. Mazzeo  
Jeffrey R. Mazzeo

State/Commonwealth

of Massachusetts

County of Worcester

Then personally appeared before me the above-named Jeffrey R. Mazzeo and acknowledged that he executed the foregoing instrument as his free act and deed this 28 day of February, 1996.

(SEAL)

Elaine F. Akaka Notary Public

Elaine F. Akaka (print name)

My Commission expires 01 / 04 / 2002

Inventor: Edward R. Grover  
Edward R. Grover

State/Commonwealth

of Massachusetts

County of Worcester

Then personally appeared before me the above-named  
Edward R. Grover and acknowledged that he executed the  
foregoing instrument as his free act and deed this  
28 day of February, 1996.

(SEAL)

Elaine F. Akaka Notary Public  
Elaine F. Akaka (print name)  
My Commission expires 01 / 04 / 2002

Inventor: Michael E. Swartz  
Michael E. Swartz

State/Commonwealth

of Massachusetts

County of Worcester

Then personally appeared before me the above-named  
Michael E. Swartz and acknowledged that he executed the  
foregoing instrument as his free act and deed this  
28 day of February, 1996.

(SEAL)

Elaine F. Akaka Notary Public  
Elaine F. Akaka (print name)  
My Commission expires 01 / 04 / 2002

Inventor: Michael Merion  
Michael Merion

State/Commonwealth  
of CALIFORNIA  
County of SANTA CLARA

Then personally appeared before me the above-named  
Michael Merion and acknowledged that he executed the  
foregoing instrument as his free act and deed this  
18TH day of MARCH, 1996.

(SEAL)

Evelyn Posey Notary Public  
EVELYN POSEY (print name)  
My Commission expires 1 / 12 / 98

Inventor: John S. Petersen  
John S. Petersen

State/Commonwealth  
of Massachusetts  
County of Middlesex

Then personally appeared before me the above-named  
John S. Petersen and acknowledged that he executed the  
foregoing instrument as his free act and deed this  
16th day of March, 1996.

(SEAL)

Edleen M. Doyle Notary Public  
Edleen M. Doyle (print name)  
My Commission expires 8 / 23 / 02

WAA14U.ASG/CSE37