

05-17-1999

Docket No. 54466/AKC

FORM PTO-1595 (Substitute)

(Rev. 8-96)

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

To the Honorable Commissioner of Patents

101038808

I documents or copy thereof.

of receiving party(ies):

1. Name of conveying party(ies):

Han Xiuwen, Wang Xinning, Lu Shiwei
and Jiang TaoName: Dalian Institute of Chemical Physics
Chinese Academy of China

Internal Address:

Street Address: The People's Republic of China

457 Zhongshan Road

City/State/Zip: DALIAN 116023

The people's Republic of
China

Additional name(s) of conveying party(ies) attached?

☐ Yes ☐ No

3. Nature of Conveyance:

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

12/14/98; 6/22/98; 6/22/98

Execution Date(s): 6/22/98

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(s) of the application is(are): 6/25/98; 6/22/98; 6/22/98; 6/22/98

A. Patent Application No.(s) 09/069,562

April 29, 1998

B. Patent No.(s)

Additional numbers attached?

☐ Yes ☐ No

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

Name: Albert Wai-Kit Chan

Internal Address:

Street Address: Cooper & Dunham LLP

1185 Avenue of the Americas

City/State/Zip: New York, New York 10036

6. Total number of applications and patents involved: _____

7. Total fee (37 CFR §3.41): \$ 40.00

☐ Enclosed☒ Authorized to be charged to deposit account

8. Deposit account number:

03-3125

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.

Albert Wai-Kit Chan

Name of Person Signing

Albert Wai Kit Chan

Signature

December 18, 1998

Date

I hereby certify that this correspondence is being deposited this date with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Albert Wai-Kit Chan

Reg No. 36,479

Total Number of pages including cover sheet, attachments and document: 7

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks

Box Assignments

Washington, D.C. 20231

Applicants : Steve C.F. Au-Yeung, et al.

Serial No. : 09/069,562

Filed April 29, 1998

Exhibit c PATENT

REEL: 009959 FRAME: 0807

ASSIGNMENT

In consideration of One Dollar (\$1.00), and other good and valuable considerations, the receipt of which is hereby acknowledged, we, the undersigned,

Han Xiuwen
Wang Xinning
Lu Shiwei
Jiang Tao

Hereby sell, assign and transfer to Dalian Institute of Chemical Physics,
Chinese Academy of Sciences ~~a corporation of the~~
~~State of~~

an institution having a place of business at
The People's Republic of China.

~~In the County of~~ ~~And State of~~

their successors, assigns and legal representatives, the entire right, title and interest for all countries, in and to any and all inventions which are disclosed and claimed, and any and all inventions which are disclosed but not claimed, in the application for United States Letters Patent, which has been executed by the undersigned on 6/22/98, 6/25/98 and is entitled

SYNTHESIS OF PLATINUM COMPLEXES AND USES THEREOF

and in and to said application and all divisional, continuing, substitute, renewal, reissue, and all other applications for United States Letters Patent or other related property rights in any and all foreign countries which have been or shall be filed on any of said inventions disclosed in said application; and in and to all original and reissued patents or related foreign documents which have been or shall be issued on said inventions;

Authorize and request the Commissioner of Patents of the United States to issue to said Assignees, the corporations above named, their successors, assigns and legal representatives, in accordance with this assignment, any and all United States Letters Patent on said inventions or any of them disclosed in said application;

Agree that said assignees may apply for and received foreign Letters Patent or rights of any other kind for said inventions, or any of them; and may claim, in applications for said foreign Letters Patent or other rights, the priority of the aforesaid United States patent application under the provisions of the International Convention of 1883 and later modifications thereof, under the Patent Cooperation Treaty, under the European Patent Convention or under any other available international agreement; and that, when requested, without charge to, but at the expense of, said Assignees, their successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this assignment, the undersigned or the undersigneds' executors or administrators will, for the United States and all foreign countries, execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications or other documents on any and all said inventions; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignees, their successors, assigns and representatives, all facts known and documents available to the undersigned relating to said inventions and the history thereof; testify in all legal proceedings; and generally do everything possible which said Assignees, their successors, assigns or representatives shall consider desirable for aiding in securing, maintaining and enforcing proper patent protection for said inventions and for vesting title to said inventions and all applications for patents or related foreign rights and all patents on said inventions, in said Assignees, their successors, assigns and legal representatives; and

COVENANT with said Assignees, their successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Date: 12-14-88, 1998

Witness Dai Lu

Dai Lu

44 Mansfield Apts.

1 South Eagleville Road

Storrs, CT-06268

Han Xiuwen [L.S.]
Han Xiuwen

Wang Xinning [L.S.]
Wang Xinning

Date: June 22, 1998

Witness Bao Xinhe

BAO Xinhe
457 Zhongshan Road
Dalian 116023 China

Lu Shiwei [L.S.]
Lu Shiwei

Date: June 22, 1998

Witness Bao Xinhe

BAO Xinhe
457 Zhongshan Road
Dalian 116023 China

Jiang Tao [L.S.]
Jiang Tao

Date: June 22, 1998

Witness Bao Xinhe

BAO Xinhe
457 Zhongshan Road
Dalian 116023 China



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APRIL 08, 1999

PTAS

COOPER & DUNHAM LLP
ALBERT WAI-KIT CHAN
1185 AVENUE OF THE AMERICANS
NEW YORK, NY 10036



100929190A

**UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF NON-RECORDATION OF DOCUMENT**

DOCUMENT ID NO.: 100929190

THE ENCLOSED DOCUMENT HAS BEEN EXAMINED AND FOUND NON-RECORDABLE BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. THE REASON(S) FOR NON-RECORDATION ARE STATED BELOW. DOCUMENTS BEING RESUBMITTED FOR RECORDATION MUST BE ACCOMPANIED BY A NEW COVER SHEET REFLECTING THE CORRECT INFORMATION TO BE RECORDED AND THE DOCUMENT ID NUMBER REFERENCED ABOVE.

THE ORIGINAL DATE OF FILING OF THIS ASSIGNMENT DOCUMENT WILL BE MAINTAINED IF RESUBMITTED WITH THE APPROPRIATE CORRECTION(S) WITHIN 30 DAYS FROM THE DATE OF THIS NOTICE AS OUTLINED UNDER 37 CFR 3.51. THE RESUBMITTED DOCUMENT MUST INCLUDE A STAMP WITH THE OFFICIAL DATE OF RECEIPT UNDER 37 CFR 3. APPLICANTS MAY USE THE CERTIFIED PROCEDURES UNDER 37 CFR 1.8 OR 1.10 FOR RESUBMISSION OF THE RETURNED PAPERS, IF THEY DESIRE TO HAVE THE BENEFIT OF THE DATE OF DEPOSIT IN THE UNITED STATES POSTAL SERVICE.

SEND DOCUMENTS TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231. IF YOU HAVE ANY QUESTIONS REGARDING THIS NOTICE, YOU MAY CONTACT THE INDIVIDUAL WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.

1. THE COVER SHEET SUBMITTED FOR RECORDING IS NOT ACCEPTABLE. THE NAME AND ADDRESS OF THE RECEIVING PARTY(S) MUST BE INDICATED ON THE COVER SHEET.

STEVEN POST, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

Applicants : Steve C.F. Au-Yeung, et al.
Serial No. : 09/069,562
Filed : April 29, 1998
Exhibit A

PATENT
REEL: 009959 FRAME: 0811

5-10-99

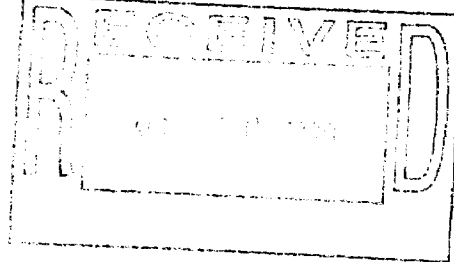
Dkt: 54466/AKC

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Steve C.F. Au-Yeung, et al.
Serial No. : 09/069,562 Examiner : Steven Post
Filed : April 29, 1998 Group Art Unit : 1614
For : SYNTHESIS OF PLATINUM COMPLEXES AND USES
THEREOF

1185 Avenue of the Americas
New York, New York 10036
May 6, 1999

Honorable Commissioner for Patents and Trademark
U.S. Patent and Trademark Office
Assignment Division
Box Assignments, CG-4
1213 Jefferson Davis Highway
Suite 320
Washington, D.C. 20231



Sir:

**COMMUNICATION IN RESPONSE TO THE APRIL 8, 1999
NOTICE OF NON-RECORDATION OF DOCUMENT**

Upon receipt of the official Notice of Non-Recordation of Document for the above-identified application, a copy of which is attached hereto as **Exhibit A**, applicants have made the following correction:

- 1) The name and address of receiving party was originally stated as "Dalian Institute of Chemical Physics Chinese Academy of China" and the Street Address was stated as "The People's Republic of China."

Applicants attach an original Form PTO-1595 coversheet, an original signed Assignment, and blue back as **Exhibit B**. As shown in the Assignment and the Form PTO-1595, the name and address is correctly stated as:

- 1) "Dalian Institute of Chemical Physics Chinese Academy of Sciences" and the Street Address is stated as "457 Zhongshan Road, Dalian 116023, The People's Republic of China."

Applicants : Steve C.F. Au-Yeung, et al.
Serial No. : 09/069,562
Filed : April 29, 1998
Page 2

Accordingly, applicants maintain that the above-mentioned error in the Notice of Non-Recordation Of Document was due to a clerical error made by applicants and the undersigned requests that the correction be made to the Notice of Non-Recordation Of Document without charge.

The Examiner stated that the original date of filing of this Assignment document will be maintained if re-submitted with the appropriate correction(s) within 30 days from the date of this Notice as outlined under 37 CFR §3.51.

In response, applicants attach hereto as **Exhibit B**, an original Form PTO-1595 coversheet, Assignment and blue back and request that the U.S. Patent and Trademark Office record this Assignment and maintain the original filing date since same is being resubmitted within the 30 day period.

The Examiner further stated that the resubmitted document must include a stamp with the official date of receipt under 37 CFR §3.

In response, applicants attach as **Exhibit C**, the stamp with the official date of receipt under 37 CFR §3 stamped on the previous Form PTO-1595. This stamp cites, "Received 1998 Dec. 21 AM 10:49 OPR/FINANCE" and also includes a label affixed to this document which states, "12-24-1998, 100929190."

The Examiner further stated that applicants may use the certified procedures under 37 CFR §1.8 or §1.10 for resubmission of the returned papers, if they desire to have the benefit of the date of deposit in the United States Postal Service.

In response, applicants request to have the benefit of the date of deposit in the United States Postal Service.

Applicants : Steve C.F. Au-Yeung, et al.
Serial No. : 09/069,562
Filed : April 29, 1998
Page 3

In summary, for the reasons set forth hereinabove, applicants respectfully request that the Examiner issue a Notice of Recordation Of Assignment Document since all criteria have been met by the undersigned.

If a telephone interview would be of assistance in advancing prosecution of the subject application, applicants' undersigned attorney invites the Examiner to telephone at the number provided below.

No fee is deemed necessary in connection with the filing of this Communication. However, if any fee is deemed necessary, authorization is hereby given to charge the amount of any such fee to Deposit Account No. 03-3125.

Respectfully submitted,

Albert Wai Kit Chan

I hereby certify that this correspondence is being deposited this date with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to:
Assistant Commissioner for Patents,
Washington, D.C. 20231.

Albert Wai Kit Chan 5/6/99
Albert Wai-Kit Chan Date
Reg. No. 36,479

Albert Wai-Kit Chan
Registration No. 36,479
Attorney for Applicants
Cooper & Dunham LLP
1185 Avenue of the Americas
New York, New York 10036
(212) 278-0400