

RECORD 1

05-27-1999

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Attorney Docket Number

00-003-999 and 9520-008-999

mRD 5-21-99



TO THE HONORABLE COMM.

101048191

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Box Assignment
Washington, DC 20231

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Advanced Water Technology, Inc.
445 West 45th Street, Suite 84
New York, New York 10036Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

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

Name: Advanced Water Technology, Inc.
Address: 6 Journey, Suite 115
Aliso Viejo, California 92656

Country (if other than USA): _____

3. Nature of conveyance:

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

Execution Date: _____

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) 09/079,269 and 09/177,632

B. Patent No.(s) _____

Additional numbers attached? ☐ Yes ☒ No

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

PENNIE & EDMONDS LLP
1667 K Street, N.W.
Washington, D.C. 200066. Number of applications and patents involved: 27. Total fee (37 CFR 3.41):.....\$ 80.00
Please charge to the deposit account listed in Section 8.8. Deposit account number:
16-1150

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.*George A. Willingham, III
For: Jonathan A. MarshallReg. No. 41,377
Reg. No. 24,614May 21, 1999
Date

Total number of pages including cover sheet:

2Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignment
Washington, D.C. 20231

DC1 - 221214.1

PATENT
REEL: 009970 FRAME: 0272



State of California

Bill Jones
Secretary of State

P.O. Box 944830
Sacramento, CA 94244-8300
Phone (916) 637-4537

STATEMENT BY FOREIGN CORPORATION

THIS STATEMENT MUST BE FILED WITH CALIFORNIA SECRETARY OF STATE (SEC. 2117, CALIFORNIA CORPORATIONS CODE)

SINGLE FILING TO COMPLY WITH THIS STATEMENT

WHEN COMPLETING FORM, PLEASE USE BLACK TYPEWRITER RIBBON OR BLACK INK

PLEASE PRINT OR TYPE Small Instructions on Back of Form

DO NOT ALTER PREPRINTED NAME. IF ITEM 1 IS BLANK, PLEASE ENTER CORPORATE NAME AND NUMBER

1.

ADVANCED WATER TECHNOLOGY, INC.

CORP. NO.: 2126194

- If There Has Been No Change In Any Of The Information On File Complete Item 1a Only
Please indicate on return envelope if no change statement is enclosed.

DO NOT MARK IN THIS SPACE

THE FOREIGN CORPORATION NAMED HEREIN, MAKES THE FOLLOWING STATEMENT:

- 1A. I DECLARE THERE HAS BEEN NO CHANGE IN THE INFORMATION CONTAINED IN THE LAST STATEMENT OF THE CORPORATION WHICH IS ON FILE IN THE SECRETARY OF STATE'S OFFICE DOES NOT APPLY TO THE FIRST-TIME FILING.
(READ INSTRUCTIONS BEFORE COMPLETING THIS ITEM)



(CHECK HERE)

TYPE OR PRINT NAME OF SIGNING OFFICER OR AGENT

SIGNATURE

TITLE

DATE

IF THIS IS AN INITIAL STATEMENT OR IF THERE HAVE BEEN ANY CHANGES INCLUDING MAILING ADDRESS SINCE LAST STATEMENT WAS FILED, COMPLETE ITEMS 2-12

2. STREET ADDRESS OF PRINCIPAL EXECUTIVE OFFICE	ROOM NO.	2A. CITY AND STATE	2B. ZIP CODE
6 Journey	115	ALISO VIEJO, CA	92656
3. STREET ADDRESS OF PRINCIPAL BUSINESS OFFICE IN CALIFORNIA (IF ANY)	ROOM NO.	3A. CITY	3B. ZIP CODE
6 Journey	115	ALISO VIEJO, CA	92656
4. MAILING ADDRESS	ROOM NO.	4A. CITY AND STATE	4B. ZIP CODE
6 Journey	115	ALISO VIEJO, CA	92656

THE NAMES OF THE FOLLOWING OFFICERS ARE: Do Not Alter Or Obliterate Preprinted Titles. However, You May Add A Title Appropriate For Your Corporation. An officer may hold more than one office. (Must name three officers - see reverse side of form)

5. CHIEF EXECUTIVE OFFICER/V	5A. STREET ADDRESS (DO NOT USE P.O. BOX)	5B. CITY AND STATE	5C. ZIP CODE
Dominic Balzano	6 Journey, #115	Aliso Viejo, CA	92656
6. SECRETARY/V	6A. STREET ADDRESS (DO NOT USE P.O. BOX)	6B. CITY AND STATE	6C. ZIP CODE
Timothy Lyons	6 Journey, #115	Aliso Viejo, CA	92656
7. CHIEF FINANCIAL OFFICER/V	7A. STREET ADDRESS (DO NOT USE P.O. BOX)	7B. CITY AND STATE	7C. ZIP CODE
Timothy Lyons	6 Journey, #115	Aliso Viejo, CA	92656

DESIGNATED AGENT FOR SERVICE OF PROCESS: Agent For Service Of Process Must Be A Person Who Is A Resident Of California. An Agent May Be A Non-Resident Corporation Which Has Filed A Certificate Pursuant To Section 1506 California Corporations Code. Must Have A California Business or Resident's Address. If Agent Is An Individual, Must Be A Resident Of California.

8. NAME
Timothy Lyons

9. CALIFORNIA ADDRESS (DO NOT USE P.O. BOX. DO NOT INCLUDE ADDRESS IF AGENT IS A CORPORATION.)

6 Journey, Suite 115, Aliso Viejo, CA 92656

10. DESCRIBE TYPE OF BUSINESS OF THE CORPORATION NAMED IN ITEM 1.

Research and development of water purification systems

11. IF THE CORPORATION IS ANY OF THE FOLLOWING, CHECK THE APPROPRIATE BOX.

A non-profit corporation ☐

An insurance company ☐

Listed on the New York or American Stock Exchange, or is a wholly owned subsidiary of a corporation that is listed on the New York or American Stock Exchange, or NASDAQ ☐

12. I DECLARE THAT I HAVE EXAMINED THIS STATEMENT AND TO THE BEST OF MY KNOWLEDGE AND BELIEF, IT IS TRUE, CORRECT AND COMPLETE.

TYPE OR PRINT NAME OF SIGNING OFFICER OR AGENT

SIGNATURE

TITLE

DATE

MAY 19 '99 17:12

RECORDED: 05/21/1999

1 949 916 PATENT PAGE.02

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