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39

Attorney's Docket No. _____

CHAPTER II

IN THE UNITED STATES ELECTED OFFICE (EO/US)

PCT/US97/17534 30 September 1997 30.09.96
INTERNATIONAL APPLICATION NO. INTERNATIONAL FILING DATE PRIORITY DATE CLAIMED

Title: NOVEL CRYSTAL GELS USEFUL AS DENTAL FLOSS WITH IMPROVED HIGH TEAR, HIGH TENSILE, AND RESISTANCE TO HIGH STRESS RUPTURE PROPERTIES

Applicant: APPLIED ELASTOMERICS, INC., et al

Box PCT
Assistant Commissioner for Patents
Washington, D.C. 20231
ATTENTION: EO/US

**COVER SHEET FOR ASSIGNMENT
IN THE UNITED STATES ELECTED OFFICE (EO/US)
FOR INTERNATIONAL APPLICATION ENTERING NATIONAL STAGE
IN U.S. DESIGNATED OFFICE (DO/US) UNDER 35 U.S.C. 371**

IDENTIFICATION OF APPLICATION
(37 CFR 3.21 and 37 CFR 3.31(a)(4))

1. The patent application filed herewith, and to which the attached assignment (document) refers, is identified as follows:

- a. Date of execution: 3 Feb. 1999
b. Name of each inventor:
1: JOHN Y. CHEN
2:
3:
c. Title of invention: (See Above)

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this "Cover Sheet for Assignment (Document) Accompanying International Application Entering National Phase", along with any document referred to, is being deposited with the United States Postal Service on this date _____, in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number _____, addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

(type or print name of person mailing paper)

Signature of person mailing paper

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 CFR 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

(Cover Sheet for Assignment In the United States Elected Office (EO/US) for International Application Entering National Stage under 35 USC 371 [13-21]—page 1 of 4)

NOTE: "If an assignment is executed concurrently with, or subsequent to the execution of the patent application, but before the patent application is filed, it must identify the patent application by its date of execution, name of each inventor, and title of the invention so that there can be no mistake as to the patent application intended." 37 CFR 3.21.

NAME OF PARTY(IES) CONVEYING INTEREST

(37 CFR 3.31(a)(1))

2. The party(ies) conveying this interest is (are):

Name 1: JOHN Y. CHEN
Name 2: _____
Name 3: _____

NAME AND ADDRESS OF PARTY(IES) RECEIVING INTEREST

(37 CFR 3.31(a)(2))

3. The rights are being conveyed to:

Name: APPLIED ELASTOMERICS, INC.
Address: 163 W. HARRIS AVE.,
SO. SAN FRANCISCO, CA 94080

Telephone No.: (650) 827-1388

DESCRIPTION OF INTEREST CONVEYED OR TRANSACTION RECORDED

(37 CFR 3.31(a)(3))

4. The accompanying document intends to accomplish:

- ☒ an assignment.
☐ a security agreement.
☐ a license.
☐ a merger.
☐ a change of name.
☐ a change of address.
☐ other.

(Cover Sheet for Assignment In the United States Elected Office (EO/US) for International Application
Entering National Stage under 35 USC 371 [13-21]—page 2 of 4)

**NAME AND ADDRESS OF PARTY TO WHOM CORRESPONDENCE
SHOULD BE MAILED** (37 CFR 3.31(a)(5))

5. Please address correspondence to:

Name: JOHN Y. CHEN
Address: APPLIED ELASTOMERICS, INC.,
163 W. HARRIS AVE.,
SO. SAN FRANCISCO, CA 94080
Telephone No.: (650) 827-1388

DATE ASSIGNMENT (DOCUMENT) EXECUTED (37 CFR 3.31(a)(7))6. The attached assignment (document) was executed on 3 Feb. 1999
Date**LANGUAGE OF ASSIGNMENT (DOCUMENT) TO BE RECORDED**

NOTE: The Office will accept and record non-English language documents only if accompanied by a verified English translation signed by the individual making the translation. 37 CFR 3.26.

The attached document:

- ☒ is in the English language.
☐ is not in the English language. A verified English translation signed by the individual making the translation is attached.

ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED

NOTE: "Either the original document or a true copy of the original document may be submitted for recording. Only one side of each page shall be used. The paper used should be flexible, strong, white, non-shiny, durable, and preferably no larger than 21.6 x 33.1 cm. (8 1/2 x 14 inches) with a 2.5 cm. (one inch) margin on all sides." 37 CFR 3.24

7. Submitted herewith is:

- ☒ the original document.
☐ a true copy of the original document.

NOTE: "If the original [assignment] document is two-sided or the wrong size, the practitioner can comply with the requirement [set out in 37 C.F.R. § 3.24] by providing a true copy of the original document using only one side of each page on the correct size paper." Notice of June 24, 1992, 1140 O.G. 63-76, at 67.

**NUMBER OF APPLICATIONS IDENTIFIED IN THIS COVER SHEET
AND THE FEE** (37 CFR 3.31(a)(6))

8. A. This cover sheet identifies only one application:

B. The fee for recordal (37 CFR 1.21(h)) is \$40.00.

- ☒ Attached is a check for \$40.00.
☐ Please charge Account _____ \$40.00.

A duplicate of this cover sheet is attached.

SEE TRANSMITTLE
included in
CK #3455/\$ 448

(Cover Sheet for Assignment In the United States Elected Office (EO/US) for International Application
Entering National Stage under 35 USC 371 [13-21]—page 3 of 4)

STATEMENT (37 CFR 3.31(a)(9)) AND SIGNATURE (37 CFR 3.31(a)(10))

9. 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.

NOTE: "The term 'party' as used in this rule [§ 3.31] means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate officer where a corporation's name appears on the document." Notice of June 24, 1992, 1140 O.G. 63-76, at 65.

Date: 3 FEB. 1999

JOHN Y. CHEN

Name of party submitting document

John Y. Chen

Signature of party submitting document

(complete the following, if the party submitting the document is applicant's attorney)

John Y. Chen

SIGNATURE OF ATTORNEY

Reg. No.: 29,782

JOHN Y. CHEN

(type or print name of attorney)

Tel. No. (650) 827-1388

APPLIED ELASTOMERICS, INC.

P.O. Address

163 W. HARRIS AVE.,
SO. SAN FRANCISCO, CA 94080

TOTAL NUMBER OF PAGES BEING SUBMITTED

10. The total number of pages being submitted, including cover sheet attachment(s), and documents are:

EIGHT

Total number of pages submitted

(Cover Sheet for Assignment In the United States Elected Office (EO/US) for International Application
Entering National Stage under 35 USC 371 [13-21]—page 4 of 4)

Attorney's Docket No. 39
PATENT

For: ☒ U.S. and/or ☒ Foreign Rights
By: ☒ Inventor(s) or ☐ Present Owner

ASSIGNMENT OF INVENTION CONTAINED IN PCT APPLICATION

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration.

ASSIGNOR:

Inventor(s) or person(s) or entity(ies) who own the invention

JOHN Y. CHEN

(type or print name(s) of ASSIGNOR(S))

1336 ODDSTAD BLVD.,

Address

PACIFICA, CA 94044
UNITED STATES of AMERICA

Nationality

(if assignment is by person or entity to whom invention was previously assigned and this was recorded in PTO, add the following)

Recorded on _____ Reel _____

Frame _____

hereby sells, assigns and transfers to

ASSIGNEE:
APPLIED ELASTOMERICS, INC.

(type or print name of ASSIGNEE)

163 W. HARRIS AVE.,

Address

SOUTH SAN FRANCISCO, CA 94080
UNITED STATES

Nationality

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)



the entire right, title and interest



an undivided _____ percent (_____ %) interest

for the United States and its territorial possessions

(check the following box, if foreign rights are also to be assigned)

☒ and in all foreign countries, including all rights to claim priority,
in and to any and all improvements which are disclosed in the invention entitled:

**Title: NOVEL CRYSTAL GELS USEFUL AS DENTAL FLOSS WITH IMPROVED HIGH
TEAR, HIGH TENSILE, AND RESISTANCE TO HIGH STRESS RUPTURE PROPERTIES**

(check and complete (a), (b), or (c))

which is found in

(a) ☐ PCT patent application filed on even date herewith

☐ Express mail label no.: _____

Mailed: _____

☐ To comply with 37 C.F.R. § 3.21 for recordal of this assignment, I, an
ASSIGNOR signing below, hereby authorize and request my attorney to
insert below the filing date and application number when they become
known.

(b) ☒ PCT application serial no. PCT/US 97/17534 filed on 30 SEPT. 1997

(also check (c), if foreign application(s) is also being assigned)

(c) ☒ 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, renewal, or substitute thereof, and as to letters patent any
re-issue or re-examination thereof

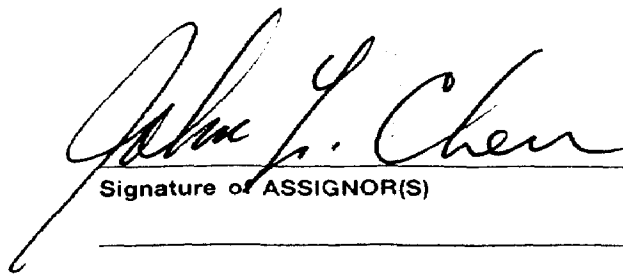
ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has
been or will be made or entered into which would conflict with this assignment;

ASSIGNOR 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 and will testify as
to the same in any interference, litigation or proceeding related thereto and will promptly
execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments
or affidavits required to apply for, obtain, maintain, issue and 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.

IN WITNESS WHEREOF, I/We have hereunto set hand and seal this 3rd of
Feb., 1999
Date of signing.

WARNING: Date of signing must be the **same** as the date of execution of the application if item (a) was checked
above

(Assignment of Invention Contained in PCT Application [13-23]—page 2 of 3)


 Signature of ASSIGNOR(S)

If ASSIGNOR is a legal entity complete the following information

(type or print the name of the above person authorized to sign on behalf of ASSIGNOR)

 Title

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized then it will only be prima facie evidence of execution 35 USC 261. Use next page if notarization is desired.

☐ Notarization or Legalization Page Added