

MRD 9-10-99

09-21-1999



101149521

RECORDATION FOR COVER SHEET  
PATENTS ONLY Form PTO-1619A

3C400 U.S. PTO  
09/393990  
09/10/99

Our File No. E-1786

TO: The commissioner of patents and trademarks: Please record the attached original document(s) or copy(ies).

1. SUBMISSION TYPE

- ☒ New  
☐ Resubmission  
Document ID \_\_\_\_\_  
☐ Correction of PTO Error  
Reel \_\_\_\_\_ Frame \_\_\_\_\_

2. CONVEYANCE TYPE (# Of Pages) (# of Items)

- ☒ Assignment 2 1  
☐ License \_\_\_\_\_  
☐ Merger \_\_\_\_\_  
☐ Security Agreement \_\_\_\_\_  
☐ Name Change \_\_\_\_\_  
☐ Other \_\_\_\_\_

3a. PATENT OR APP. # \_\_\_\_\_

3b. EXECUTION DATE: 09091999

09/393990

4. CONVEYING PARTY(IES)

- |                       |               |           |            |
|-----------------------|---------------|-----------|------------|
| 1. John L. Fulton     | Date 09081999 | 7. _____  | Date _____ |
| 2. Markus M. Hoffmann | Date 09091999 | 8. _____  | Date _____ |
| 3. _____              | Date _____    | 9. _____  | Date _____ |
| 4. _____              | Date _____    | 10. _____ | Date _____ |
| 5. _____              | Date _____    | 11. _____ | Date _____ |
| 6. _____              | Date _____    | 12. _____ | Date _____ |

5. RECEIVING PARTY

Name: Battelle Memorial Institute K1-53  
Internal Address: K1-53 P.O. Box 999 Intellectual Property Services  
Street Address: 902 Battelle Blvd. Intellectual Property Services  
City: Richland State: WA Zip: 99352  
Any additional names of conveying parties attached? ☐ Yes  
☒ No

6. CORRESPONDENT NAME AND ADDRESS

Name: Paul W. Zimmerman (K1-53)  
Street Address: 902 Battelle Blvd. P.O. Box 999  
City: Richland State: WA Zip: 99352  
Area Code and Phone Number: (509) 375-2981

7. FEE & DEPOSIT ACCOUNT #

Method Of Payment:  
☐ Enclosed ☒ Deposit Account \$ 40.00  
Deposit Account Number: # 02-1275 (Payor No. 005055)  
Authorization to charge additional fees: ☒ Yes  
☐ No

8. 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. Charges to deposit account are authorized, as indicated herein.

Paul W. Zimmerman  
Name of Person Signing

Paul W. Zimmerman  
Signature

9/5/99  
Date

09/17/1999 NTHA11 00000010 021275 09393990

01 FC:581 40.00 CH

PATENT  
REEL: 010235 FRAME: 0812

ASSIGNMENT

John L. Fulton  
Markus M. Hoffmann

to

Battelle Memorial Institute

WHEREAS we, John L. Fulton, of Battelle Memorial Institute, in the County of Benton, and State of Washington; and Markus M. Hoffmann, of Battelle Memorial Institute, in the County of Benton, and State of Washington; have made certain inventions in Rare Earth Oxide Fluoride Nanoparticles And Hydrothermal Method For Forming Nanoparticles, for which we are about to make application for Letters Patent of the United States; and

WHEREAS Battelle Memorial Institute, a corporation of Ohio, organized and existing under the laws of the State of Ohio, and having a place of business in the City of Richland, Washington, is desirous of acquiring an interest in the said invention and in any patent or patents to be obtained therefor;

NOW, THEREFORE, To All Whom It May Concern, be it known that, for and in consideration of the sum of One Dollar (\$1.00) each, and other good and valuable considerations, the receipt of which is hereby acknowledged, we have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto the said Battelle Memorial Institute, the entire right, title, and interest in and to the invention shown, described, or claimed therein, and the full and exclusive right and title to the said application, executed by us on the 9<sup>th</sup> day of September, 1999, preparatory to obtaining Letters Patent of the United States therefor; and in and to any extensions, reissues, divisions, or renewals thereof; and we do hereby authorize and request the Commissioner of Patents or other proper Officer, to issue such Letters Patent, or any of them, to the said Battelle Memorial Institute, as the assignee of our entire right, title, and interest in and to the same for the sole use and benefit of the said Battelle Memorial Institute, and its successors or assigns.

And we further covenant and agree that we will, at the request and expense of the said Battelle Memorial Institute, execute such other and further assurances of title as may be necessary or proper to fully convey the interest herein sought to be conveyed; that we will, at the request and expense of the said Battelle Memorial Institute, execute such application papers as may be desired by the said Battelle Memorial Institute, for the filing of any division or renewal of the application herein conveyed, or for reissues or extensions, of any Letters Patent that may be granted upon said application, and will execute such Supplemental Oaths and Preliminary Statements, or other papers as desired by the said Battelle Memorial Institute.

And we further assign unto the said Battelle Memorial Institute, the whole right, title, and interest to the invention disclosed in the application throughout all countries foreign to the United States, and do hereby authorize the said Battelle Memorial Institute to apply for patents therefor in its own name in countries where such procedure is proper and to claim the benefit of the International Convention and do agree to execute applications for the said invention in the several countries where it is necessary that the same be executed by the inventors, and to execute assignments of such applications and the patents to be obtained therefor to the said Battelle Memorial Institute, the assignee herein, as well as all other necessary papers.

-----

IN TESTIMONY WHEREOF I have hereunto set my hand and affixed my seal  
at Richland, Washington, this 8<sup>th</sup> day of September, 1999.

  
\_\_\_\_\_  
John L. Fulton

-----

IN TESTIMONY WHEREOF I have hereunto set my hand and affixed my seal  
at Richland, Washington, this 9<sup>th</sup> day of September, 1999.

  
\_\_\_\_\_  
Markus M. Hoffmann