

08-07-2000

FORM PTO-1595 U.S. RECC



T DEPARTMENT OF COMMERCE

Patent and Trademark Office

To the Honorable Commissioner of Patents

101424679

Send original document or copy thereof.

1. Name of conveying party(ies):

Clariant GmbH

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

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

Name: BASF-AG

Internal Address: Patent Dept.

Street Address: Carl-Bosch-Strasse 38

City: Ludwigshafen, D-67056 GERMANY

3. Nature of conveyance:

- Assignment  Merger
- Security Agreement  Change of Name
- Other

Execution Date: March 9, 2000

4. Application number(s) or patent number(s): 09/084,941

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

A. Patent Application No.(s):

B. Patent No.(s)

Additional numbers attached?  Yes  No

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

Name: David T. Banchik

Internal Address: Patent Department  
BASF Corporation

Street Address: 3000 Continental Drive - North

City: Mt. Olive State: NJ ZIP: 07828

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$40.00

Authorized to be charged to deposit account

8. Deposit Account number: 09-0425

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.

David T. Banchik  
Name of Person Signing

Signature

7/7/00  
Date

Total number of pages including cover sheet, attachments, and document

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

1595FM

08/04/2000 DNGUYEN 00000134 090425 09084941

01 FC:581 40.00 CH

PATENT  
REEL: 010963 FRAME: 0430

ASSIGNMENT

WHEREAS Clariant GmbH, a company organized under the laws of Federal Republic of Germany , whose principal offices are located at, D-65843 Sulzbach (hereinafter referred to as "Assignor"), is the sole and exclusive owner, by assignment and/or by operation of law, of the following United States patent application:

Serial No. 09/084,941 filed May 26, 1998

WATER-SWELLABLE, HYDROLIC POLYMER COMPOSITION

WHEREAS, BASF Aktiengesellschaft, a company organized under the laws of the Federal Republic of Germany, whose principal offices are located at D-67056 Ludwigshafen (hereinafter referred to as "Assignee") is desirous of acquiring ownership of said patent application and the inventions covered thereby:

NOW, THEREFORE, for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, Assignor hereby sells and assigns to Assignee, its successors, and assigns, all right, title and interest which Assignor has in and to said inventions, the patent application and all patents which may be granted thereon and any divisions, reissues, continuations and extensions thereof, the same to be held and enjoyed by the Assignee for its own use and enjoyment, and for the use and enjoyment of its successors, assigns or other legal representatives, to the end of the term or terms for which said patent application may be granted or reissued as fully and entirely as the same would have been held and enjoyed by the Assignor, if this assignment and sale had not been made.

IN WITNESS WHEREOF, Assignor has caused this Assignment to be duly executed this  
.....9th..... day of .....March..... 2000

Clariant GmbH

*ppa* *Güthlein*  
Dr. Güthlein

*W. Mikulecky*

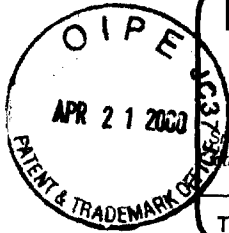
Dr. Mikulecky

07.03.2000

20-640068

PATENT  
REEL: 010963 FRAME: 0431

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.  
 Small Entity payments must be supported by a small entity statement,  
 otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
 See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$)**40.00**

**Complete if Known**

Application Number	09/084,941
Filing Date	5/26/98
First Named Inventor	ENGLEHARDT
Examiner Name	NUTTER, N.
Group / Art Unit	1711
Attorney Docket No.	11-8527

**METHOD OF PAYMENT (check one)**

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: **09-0425**

Deposit Account Name: **BASF CORP.**

Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2.  **Payment Enclosed:**

Check  Money Order  Other

**FEE CALCULATION**

**1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 690	201 345	Utility filing fee	
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 690	208 345	Reissue filing fee	
114 150	214 75	Provisional filing fee	
<b>SUBTOTAL (1) (\$)</b>			

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	- 3** =	X	

**Large Entity Small Entity**

Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
103 18	203 9	9	Claims in excess of 20	
102 78	202 39	39	Independent claims in excess of 3	
104 260	204 130	130	Multiple dependent claim, if not paid	
109 78	209 39	39	** Reissue independent claims over original patent	
110 18	210 9	9	** Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2) (\$)</b>				

**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 380	216 190	Extension for reply within second month	
117 870	217 435	Extension for reply within third month	
118 1,360	218 680	Extension for reply within fourth month	
128 1,850	228 925	Extension for reply within fifth month	
119 300	219 150	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,210	241 605	Petition to revive - unintentional	
142 1,210	242 605	Utility issue fee (or reissue)	
143 430	243 215	Design issue fee	
144 580	244 290	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.
146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	
Other fee (specify)			
Other fee (specify)			
<b>SUBTOTAL (3) (\$)</b>			<b>40.00</b>

**SUBMITTED BY**

Name (Print/Type)	<b>DAVID T. BANCHIK</b>	Registration No. (Attorney/Agent)	<b>36,439</b>	Telephone	<b>973-426-4190</b>
Signature	<i>[Signature]</i>	Date	<b>4-18-00</b>		

**WARNING:**

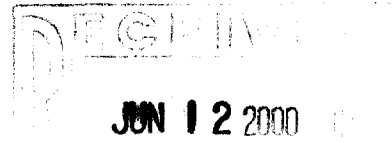
Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



**UNITED STATES DEPARTMENT OF COMMERCE**  
**Patent and Trademark Office**  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

DATE: June 6, 2000



Clariant Corporation  
David T. Banchik  
Industrial Prop. Dept.  
4331 Chesapeake Drive  
Charlotte, N.C., 28216

Gentlemen:

The attached assignment was sent to the Assignment Division without a cover sheet.  
Please submit to our office a legible copy of the cover letter that accompanied this document, a copy of the patent office mailroom receipt date, and proof of payment with the attached original assignment.

If you have any questions, please call (703) 308-9723.

Sincerely,

Pearlene Foster  
Paralegal Specialist

RECORDED: 07/10/2000

PATENT  
REEL: 010963 FRAME: 0433