

08-25-2000



FORM PTO-159

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

RECORD

101442717

PATENTS ONLY

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):  
**David H. McConville**  
**Donald R. Loveday** 8.14.00

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

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

Name: **Univation Technologies, LLC**

Street Address: **5555 San Felipe, Suite 1950**

City: **Houston** State: **Texas** ZIP: **77056**

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

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

Execution Date: **January 3, 2000**

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)  
**09/442,813**

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: **Jaimes Sher**  
Internal Address: **Univation Technologies LLC.**  
Mailing Address: **5555 San Felipe, Suite 1950**  
City: **Houston** State: **Texas** ZIP: **77056**

6. Total number of applications and patents involved: [1]

7. Total fee (37 CFR 1.41): **\$40.00**

☒ Authorized to be charged to deposit account

8. Deposit account number: **50-0589**

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.*

**Jaimes Sher**  
\_\_\_\_\_  
Name of Person Signing

*Jaimes Sher*  
\_\_\_\_\_  
Signature

**August 10, 2000**  
\_\_\_\_\_  
Date

Total number of pages including cover sheet, attachments, and document: [3]

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

**COMMISSIONER OF PATENTS AND TRADEMARKS**  
**BOX ASSIGNMENT**  
**WASHINGTON DC 20231**

**ASSIGNMENT****INVENTOR or INVENTORS:**

David H. McConville

Donald R. Loveday

In consideration of One Hundred Twenty-five Dollars (\$125.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, the undersigned person(s) named above, herein referred to as UNDERSIGNED, hereby agree(s) as follows:

1) UNDERSIGNED hereby assign(s) to Univation Technologies, LLC, a Delaware company, its successors, legal representatives and assigns, herein referred to collectively as ASSIGNEE, the entire right, title and interest, for the United States and all foreign countries, in and to UNDERSIGNED'S invention or improvement and to all patent applications and patents covering same which is described in a patent application entitled

## Method of Polymerization and Polymer Produced Therefrom

said application having been executed on the \_\_\_\_\_ day(s) of \_\_\_\_\_, \_\_\_\_\_, and being further identified as Case No. 1999U031, U.S.S.N. 09/442,813, filed November 18, 1999; and all rights of priority created by said application under provisions of international conventions or treaties.

2) UNDERSIGNED agree(s) upon the request of ASSIGNEE to execute any and all applications for and documents relating to obtaining patents and the prosecution thereof for said invention or improvement, and any continuations of such applications or substitutes therefor or registrations thereof, and any specific separate assignments of any of the above required for recording in the United States Patent and Trademark Office and any foreign patent office that ASSIGNEE may deem necessary or expedient.

3) UNDERSIGNED agree(s) that in the event of any application based on said assigned invention or improvement, or patent issued thereon, or any reissue or application for the reissue thereof, becoming involved in priority of invention proceedings, UNDERSIGNED will cooperate with ASSIGNEE to the best of the ability of UNDERSIGNED in the matter of preparing and executing all documents and giving and producing evidence in support thereof.

4) UNDERSIGNED agree(s) to perform upon ASSIGNEE'S request any and all affirmative acts to obtain United States and foreign patents covering said invention or improvement and to vest all rights therein hereby conveyed to ASSIGNEE, as fully and as entirely as the same would have been held and enjoyed by UNDERSIGNED if this assignment and sale had not been made.

5) UNDERSIGNED hereby authorize(s) ASSIGNEE's attorney to insert at paragraph 1, in this instrument the date(s) on which UNDERSIGNED executed the Declaration for the above-referenced patent application, as well as the filing date and application number thereof when known.

IN WITNESS WHEREOF, this assignment has been executed by UNDERSIGNED on the date opposite UNDERSIGNED'S NAME.

DATE 11/3/00 David H. McConville (LS)  
David H. McConville

Allen Vaughan 11/3/00  
Witness

DATE 11/3/00 Donald R. Loveday (LS)  
Donald R. Loveday

Allen Vaughan 11/3/00  
Witness



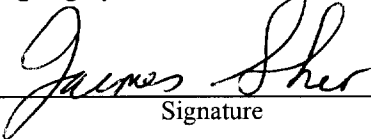
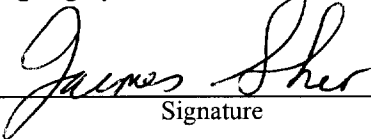
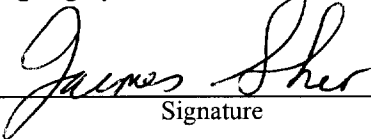
FORM PTO-1595

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office**RECORDATION FORM COVER SHEET  
PATENTS ONLY**

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

<b>1. Name of conveying party(ies):</b>  <b>John F. Szul</b>  Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<b>2. Name and address of receiving party(ies):</b>  Name: <b>Univation Technologies, LLC</b>  Street Address: <b>5555 San Felipe, Suite 1950</b>  City: <b>Houston</b> State: <b>Texas</b> ZIP: <b>77056</b>  Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>3. Nature of conveyance:</b> <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other Execution Date: <b>January 6, 2000</b>					
<b>4. Application number(s) or patent number(s):</b>  If this document is being filed together with a new application, the execution date of the application is: _____ <table border="1"><tr><td><b>A. Patent Application No.(s)</b> <b>09/442,813</b></td><td><b>B. Patent No.(s)</b></td></tr></table> Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				<b>A. Patent Application No.(s)</b> <b>09/442,813</b>	<b>B. Patent No.(s)</b>
<b>A. Patent Application No.(s)</b> <b>09/442,813</b>	<b>B. Patent No.(s)</b>				
<b>5. Name and address of party to whom correspondence concerning documents should be mailed:</b>  Name: <b>Jaimes Sher</b> Internal Address: <b>Univation Technologies LLC.</b> Mailing Address: <b>5555 San Felipe, Suite 1950</b> City: <b>Houston</b> State: <b>Texas</b> ZIP: <b>77056</b>		<b>6. Total number of applications and patents involved: [1]</b>  <b>7. Total fee (37 CFR 1.41): \$40.00</b>  <input checked="" type="checkbox"/> Authorized to be charged to deposit account  <b>8. Deposit account number: 50-0589</b>			

DO NOT USE THIS SPACE

<b>9. Statement and signature.</b> <i>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.</i>  <table border="0"><tr><td><u>Jaimes Sher</u> Name of Person Signing</td><td> Signature</td><td><u>August 10, 2000</u> Date</td></tr></table> Total number of pages including cover sheet, attachments, and document: [3]			<u>Jaimes Sher</u> Name of Person Signing	 Signature	<u>August 10, 2000</u> Date
<u>Jaimes Sher</u> Name of Person Signing	 Signature	<u>August 10, 2000</u> Date			

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

**COMMISSIONER OF PATENTS AND TRADEMARKS  
BOX ASSIGNMENT  
WASHINGTON DC 20231**

**ASSIGNMENT OF INVENTION, PRIORITY RIGHTS AND RIGHTS TO APPLY FOR PATENTS**

I, the undersigned, John F. Szul, HEREBY STATE UNDER OATH that I am the original and first inventor or co-inventor of an invention for *Method of Polymerization and Polymer Produced Therefrom* as described and/or claimed in my application for Letters Patent in the United States of America, executed on the \_\_\_\_ day(s) of \_\_\_\_\_, \_\_\_\_\_, given the Serial No. 09/442,813, and filed on November 18, 1999, with the Family Number 1999U031.

NOW, THEREFORE, in consideration of my employment by Union Carbide Corporation, manufacturers, a corporation organized and existing under the laws of the State of New York, United States of America and having an office at 39 Old Ridgebury Road, Danbury, State of Connecticut, 06817-0001, United States of America, and having as its fifty-percent-owned joint venture, UNIVATION TECHNOLOGIES, LLC, technology licensors, a company organized and existing under the laws of the State of Delaware, United States of America, and having an office at 5555 San Felipe, Suite 1950, Houston, Texas, 77056, United States of America,

I DO HEREBY ASSIGN AND TRANSFER, without any restrictions, reservations or limitations, my entire right, title, and interest in and to said invention and application unto, as the Assignee, the aforesaid UNIVATION TECHNOLOGIES, LLC, its successors, assigns and nominees, and the entire right, title and interest in and to all patents which may be granted thereon, and all divisions, continuations, continuations-in-part, reissues, reexaminations and extensions thereof;

AND ALL PRIORITY RIGHTS derived from the aforesaid application for Letters Patent by virtue of the International Convention for the Protection of Industrial Property, for any and all member countries of the aforesaid International Convention;

AND THE SOLE RIGHT to file such applications under the Patent Laws of any country of the world in its name and/or mine, and the sole right to have patents granted on said applications in its name and/or mine to the full end of the term for which said patents may be granted as fully and entirely as the same would have been held by me had this assignment not been made, and to enforce said patents with my right to sue for and recover accrued profits or damages for any and all infringements thereof;

AND AUTHORIZE the above-named Assignee to insert in this instrument the execution date, serial number and filing date of said application;

AND AUTHORIZE AND REQUEST the Commissioner of Patents and Trademarks to issue all patents on said invention to said UNIVATION TECHNOLOGIES, LLC as Assignee of the entire right, title and interest, and covenant that I have full right so to do, and agree that I will communicate to said Corporation or its representatives any facts known to me respecting said invention and testify in any legal proceedings, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid said Corporation, its successors, assigns, and nominees, to obtain and enforce proper protection for said invention in all countries.

IN WITNESS WHEREOF, this assignment has been executed by UNDERSIGNED on the date opposite UNDERSIGNED'S NAME.

DATE

1/6/2000John F. Szul

(LS)

Joan Ella Cox  
Witness

**"PATENT"****DECLARATION FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**Method of Polymerization and Polymer Produced Therefrom**

the specification of which is attached hereto unless the following box is checked:

[X] was filed on Nov. 18, 1999 as Application Serial No. or PCT International Application No. 09/442,813  
and was amended on N/A (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate(s), or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application(s) for patent or inventor's certificate(s), or PCT International application having a filing date before that of the application on which priority is claimed.

**Prior Foreign Application(s)****Priority Claimed**

_____	_____	_____	[ ]	[ ]
(Number)	(Country)	(Day/Month/Year Filed)	Yes	No
_____	_____	_____	[ ]	[ ]
(Number)	(Country)	(Day/Month/Year Filed)	Yes	No

I hereby claim the benefit under 35 U.S.C. § 119(e)(1)-(2) of any United States provisional application(s) listed below.

_____	_____
(Application Number)	(Filing Date)
_____	_____
(Application Number)	(Filing Date)

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose material information which is material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status - patented, pending, abandoned)
_____	_____	_____
(Application Serial No.)	(Filing Date)	(Status - patented, pending, abandoned)

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

NAMES	REGISTRATION NUMBERS
Jaimes Sher	34,726
Lisa Kimes Jones	41,878
William G. Muller	32,281

SEND CORRESPONDENCE TO:	DIRECT TELEPHONE CALLS TO: (Name and Telephone Number)
Univation Technologies LLC 5555 San Felipe, Suite 1950 Houston, Texas 77056	Phone No.: (713) 892-3668 Facsimile No.: (713) 892-3699

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF INVENTOR	LAST NAME McConville	FIRST NAME David		MIDDLE NAME H.
RESIDENCE & CITIZENSHIP	CITY Houston	STATE OR FOREIGN COUNTRY Texas		COUNTRY OF CITIZENSHIP Canada
POST OFFICE ADDRESS	POST OFFICE ADDRESS 4015 Cinnamon Fern Court	CITY Houston	STATE OR COUNTRY Texas	ZIP CODE 77059

Inventor's signature



Date

1/3/00

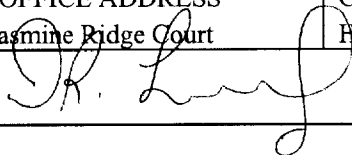
FULL NAME OF INVENTOR	LAST NAME Szul	FIRST NAME John		MIDDLE NAME F.
RESIDENCE & CITIZENSHIP	CITY Nitro	STATE OR FOREIGN COUNTRY West Virginia		COUNTRY OF CITIZENSHIP United States
POST OFFICE ADDRESS	POST OFFICE ADDRESS 5 Lake Lane	CITY Nitro	STATE OR COUNTRY West Virginia	ZIP CODE 25143

Inventor's signature

Date

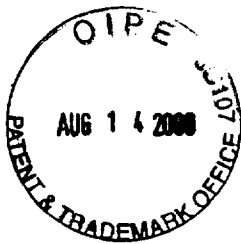
FULL NAME OF INVENTOR	LAST NAME Loveday	FIRST NAME Donald	MIDDLE NAME R.	
RESIDENCE & CITIZENSHIP	CITY Houston	STATE OR FOREIGN COUNTRY Texas		COUNTRY OF CITIZENSHIP United States
POST OFFICE ADDRESS	POST OFFICE ADDRESS 2419 Jasmine Ridge Court	CITY Houston	STATE OR COUNTRY Texas	ZIP CODE 77062

Inventor's signature



Date

1/3/00

Case Docket No. 1999U031.US**"PATENT"****DECLARATION FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**Method of Polymerization and Polymer Produced Therefrom**

the specification of which is attached hereto unless the following box is checked:

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Prior Foreign Application(s)Priority Claimed

<u>                    </u> (Number)	<u>                    </u> (Country)	<u>                    </u> (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<u>                    </u> (Number)	<u>                    </u> (Country)	<u>                    </u> (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

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<u>                                    </u> (Application Number)	<u>                                    </u> (Filing Date)
<u>                                    </u> (Application Number)	<u>                                    </u> (Filing Date)

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<u>                                    </u> (Application Serial No.)	<u>                                    </u> (Filing Date)	<u>                                    </u> (Status - patented, pending, abandoned)
<u>                                    </u> (Application Serial No.)	<u>                                    </u> (Filing Date)	<u>                                    </u> (Status - patented, pending, abandoned)



POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

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Lisa Kimes Jones	41,878
William G. Muller	32,281

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Univation Technologies LLC 5555 San Felipe, Suite 1950 Houston, Texas 77056	Phone No.: (713) 892-3668 Facsimile No.: (713) 892-3699

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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RESIDENCE & CITIZENSHIP	CITY Houston	STATE OR FOREIGN COUNTRY Texas		COUNTRY OF CITIZENSHIP Canada
POST OFFICE ADDRESS	POST OFFICE ADDRESS 4015 Cinnamon Fern Court	CITY Houston	STATE OR COUNTRY Texas	ZIP CODE 77059

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

FULL NAME OF INVENTOR	LAST NAME Szul	FIRST NAME John		MIDDLE NAME F.
RESIDENCE & CITIZENSHIP	CITY Nitro	STATE OR FOREIGN COUNTRY West Virginia		COUNTRY OF CITIZENSHIP United States
POST OFFICE ADDRESS	POST OFFICE ADDRESS 5 Lake Lane	CITY Nitro	STATE OR COUNTRY West Virginia	ZIP CODE 25143

Inventor's signature John F. Szul Date 1/6/2000

FULL NAME OF INVENTOR	LAST NAME Loveday	FIRST NAME Donald		MIDDLE NAME R.
RESIDENCE & CITIZENSHIP	CITY Houston	STATE OR FOREIGN COUNTRY Texas		COUNTRY OF CITIZENSHIP United States
POST OFFICE ADDRESS	POST OFFICE ADDRESS 2419 Jasmine Ridge Court	CITY Houston	STATE OR COUNTRY Texas	ZIP CODE 77062

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_