

10-02-2000



Practitioner's Docket No. 22036(5)990

101476945

NT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Assignments

Commissioner of Patents and Trademarks

Washington, D.C. 20231

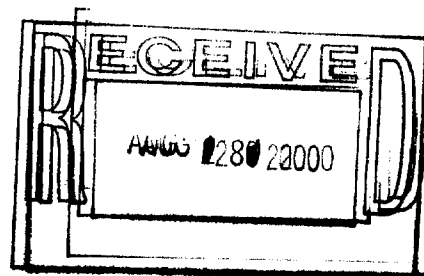
8-28-00

NOTE: "Documents and cover sheets to be recorded should be addressed to Assistant Commissioner for Patents, Box Assignments, Washington, D.C. 20231, unless they are filed together with new applications or with a petition under § 3.81(b)." 37 C.F.R. § 3.27.

ASSIGNMENT (DOCUMENT) COVER SHEET (37 C.F.R. § 3.31)

NOTE: "A cover sheet may not refer to both patents and trademarks." 37 C.F.R. § 3.31(b).

Attached please find an assignment (document) for recordal.



CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*
(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231

37 C.F.R. § 1.8(a)

☐ with sufficient postage as first class mail.

37 C.F.R. § 1.10*

☒ as "Express Mail Post Office to Addressee"
Mailing Label No. EH687247205US (mandatory)

TRANSMISSION

☐ transmitted by facsimile to the Patent and Trademark Office.

Brenda Block Koone
Signature

Date: August 28, 2000

Brenda Block Koone
(type or print name of person certifying)

***WARNING:** Each paper or fee filed by Express Mail **must** have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b).
"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(Assignment (Document) Cover Sheet [16-6] —page 1 of 6)

09/29/2000 GT0N11 00000044 09553541

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40.00 OP

**IDENTIFICATION OF APPLICATION(S) AND/OR PATENT(S)
FOR ASSIGNMENT (DOCUMENT) RECORDAL**
(37 C.F.R. § 3.21 and 37 C.F.R. § 3.31(a)(4))

NOTE: See 37 C.F.R. § 3.21.

NOTE: § 3.21 does not apply to documents other than assignment. Notice of June 24, 1992 (1140 O.G. 63-72 at 67).

1. This assignment is for the following patent application and/or issued patent:

National application: AN: 0 9 / 553,541 filed on April 20, 2000

Provisional application: / filed on

International application: PCT/ /

Patent No: Issued:

(complete if applicable) which was previously assigned and recorded

Date _____

Reel _____

Frame _____

NOTE: If an assignment of a patent application filed under § 1.53(b) 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. If an assignment of a provisional application under § 1.53(c) is executed before the provisional application is filed, it must identify the provisional application by name of each inventor and title of the invention so that there can be no mistake as to the provisional application intended. 37 C.F.R. § 3.21.

(also complete the following, if applicable)

- ☐ and also for the applications and/or patents
shown on the attached list of FURTHER
APPLICATION(S) and/or PATENT(S) BEING ASSIGNED

Number of pages added _____

NOTE: "Where there is a listing of properties contained within a document, any listing may be copied and attached to the cover sheet to reduce the amount of typing necessary. A notation of this attachment can be made in lieu of entering every property identification number on the cover sheet. Notice of June 24, 1992 (1140 O.G. 63-72 at 67).

**TOTAL NUMBER OF APPLICATIONS AND/OR PATENTS
AND TOTAL FEE**

NOTE: All requests to record documents must be accompanied by the appropriate fee; a fee is required for each application or patent against which the document is recorded as identified in the cover sheet. The recording fee is set in § 1.21(h). 37 C.F.R. § 3.41.

2. A. The total number of applications and/or patents identified in this cover sheet is

_____ 1 _____

B. The total fee is (37 C.F.R. § 1.21(h)):

_____ 1 _____ × \$40.00 = \$ 40.00
Total number of applications
and/or patents

(Assignment (Document) Cover Sheet [16-6]—page 2 of 6)

C. Payment of fee is made by:

- ☐ the attached check for \$_____.
- ☐ Please charge Account _____ the sum of \$_____. A duplicate of this cover sheet is attached.
- ☒ **Payment by Credit Card in the amount of \$40.00 (forty dollars). PTO-2038, Credit Card Payment Form, is attached.**

Please charge Account _____ for any fee deficiency or credit to account any overpayment.

NAME OF PARTY(IES) CONVEYING INTEREST
(37 C.F.R. § 3.31(a)(1))

3. The party(ies) conveying interest is (are):

Name 1: David R. Busick

Name 2: James E. Dvorsky

Name 3: Gregory A. Trees

Name 4: James H. Saunders

NAME AND ADDRESS OF PARTY(IES) RECEIVING INTEREST
(37 C.F.R. § 3.31(a)(2))

4. The rights are being conveyed to:

Name: Battelle Memorial Institute

Address: 505 King Avenue
Columbus, Ohio 43201-2693

**DESCRIPTION OF INTEREST CONVEYED OR
TRANSACTION RECORDED (37 C.F.R. § 3.31(a)(3))**

5. The accompanying document intends to accomplish:

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

**NAME AND ADDRESS OF PARTY TO WHOM
CORRESPONDENCE SHOULD BE MAILED (37 C.F.R. § 3.31(a)(5))**

6. Please address correspondence to:

Name: Patent Administrator
Address: 505 King Avenue
Columbus, Ohio 43201-2693
Telephone No.: (614) 424-6197

**DATE ASSIGNMENT (DOCUMENT) EXECUTED
(37 C.F.R. § 3.31(a)(7))**

7. A. ☒ The attached assignment (document) was executed by David R. Busick
on August 28, 2000
Date

NOTE: If there is more than one conveying party who executed on different dates, indicate the date of execution of the assignment document for each conveying party.

- B. ☒ The attached assignment was executed by James E. Dvorsky
on August 22, 2000
Date

- ☒ The attached assignment was executed by Gregory A. Trees
on August 24, 2000
Date

- xx The attached assignment was executed by James H. Saunders
on August 22, 2000.

(Assignment (Document) Cover Sheet [16-6]—page 4 of 6)

LANGUAGE OF ASSIGNMENT (DOCUMENT) TO BE RECORDED

NOTE: "The Office will accept and record non-English language documents only if accompanied by an English translation signed by the individual making the translation." 37 C.F.R. § 3.26.

8. The attached document:

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

ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED

NOTE: See 37 C.F.R. § 3.24.

9. Submitted herewith is:

- ☒ the original document.
- ☐ a true copy of the original document, which I certify to be a true copy.

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.

NOTE: "Certification shall be made by the person submitting a copy of an original document that the document submitted is a true copy of the original. The certification is not required to be in an oath or declaration form." M.P.E.P., § 302.01, 7th ed.

ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF ADDRESS

(check item, if applicable)

10. ☐ Because the purpose of the attached documents is to record a change of address of the assignee, the particulars of the previously recorded assignments for each application and/or patent are shown.

ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF NAME

(check item, if applicable)

11. ☐ Because the purpose of the attached documents is to record a change of name of the assignee, the particulars of the previously recorded assignments for each application and/or patent are shown.

(Assignment (Document) Cover Sheet [16-6]—page 5 of 6)

CHANGE OF PATENT MAINTENANCE FEE ADDRESS

(check item, if applicable)

12. ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent to the Office separately.

STATEMENT (37 C.F.R. § 3.31(a)(9)) AND SIGNATURE (37 C.F.R. § 3.31(a)(10))

13. 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; M.P.E.P. § 302.07, 6th ed.

Date: August 28, 2000

Name of party submitting document

Signature of party submitting document

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



SIGNATURE OF PRACTITIONER

Barry S. Bissell

(type or print name of practitioner)

505 King Avenue

P.O. Address

Columbus, Ohio 43201-2693

Reg. No.: 27,062

Tel. No.: (614) 424-7798

Customer No.: 000024116

TOTAL NUMBER OF PAGES BEING SUBMITTED

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

10 + postcard

Total number of pages submitted

(Assignment (Document) Cover Sheet [16-6]—page 6 of 6)

ASSIGNMENT

David R. Busick
James E. Dvorsky
Gregory A. Trees
James H. Saunders
to

Battelle Pulmonary Therapeutics, Inc.

WHEREAS we, David R. Busick, of Lewis Center, in the County of Delaware, and State of Ohio, James E. Dvorsky, of Norwich Township, in the County of Franklin, and State of Ohio, Gregory A. Trees, of Columbus, in the County of Franklin, and State of Ohio, and James H. Saunders, of Worthington, in the County of Franklin, and State of Ohio have made certain inventions in **HIGH MASS TRANSFER ELECTROSPRAYER**, the specification of which was filed on April 20, 2000 as Application Serial No. **09/553,541**; and

WHEREAS, Battelle Pulmonary Therapeutics, Inc., a corporation of Delaware, having a place of business at 505 King Avenue, Columbus, Ohio, herein called "ASSIGNEE", is desirous of acquiring our entire right, title, and interest in said invention and application therefor, 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), 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 Assignee, our 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, 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 Assignee, as the assignee of our entire right, title, and interest in and to the same for the sole use and behoof of the said Assignee, and its successors or assigns.

And we further covenant and agree that we will, at the request and expense of the said Assignee, 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 Assignee, execute such application papers as may be desired by the said Assignee for the filing of any division or renewal of the application herein conveyed, or for the 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 Assignee.

And we further assign unto the said Assignee our 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 Assignee 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 assignee, as well as all other necessary papers.

ASSIGNMENT

David R. Busick
James E. Dvorsky
Gregory A. Trees
James H. Saunders
to

Battelle Pulmonary Therapeutics, Inc.

IN TESTIMONY WHEREOF I have hereunto set my hand and affixed my seal at Columbus, Ohio this
28th day of August, 2000.

David R. Busick
David R. Busick

STATE OF OHIO)
:SS
COUNTY OF FRANKLIN)

This 28th day of August, 2000, before me, a Notary Public in and for the County aforesaid,
personally appeared David R. Busick, personally known to me and known to be the person described in
and who executed the foregoing assignment and acknowledged the same to be his voluntary act and
deed, and that he executed the same for the uses and purposes therein set forth.



Brenda Block Koone
Notary Public
BRENDA BLOCK KOONE
NOTARY PUBLIC, STATE OF OHIO
MY COMMISSION EXPIRES MAY 23, 2003

IN TESTIMONY WHEREOF I have hereunto set my hand and affixed my seal at Columbus, Ohio this
22nd day of August, 2000.

James E. Dvorsky
James E. Dvorsky
Dvorsky JED

STATE OF OHIO)
:SS
COUNTY OF FRANKLIN)

This 22nd day of August, 2000, before me, a Notary Public in and for the County aforesaid,
personally appeared James E. Dvorsky, personally known to me and known to be the person described
in and who executed the foregoing assignment and acknowledged the same to be his voluntary act and
deed, and that he executed the same for the uses and purposes therein set forth.



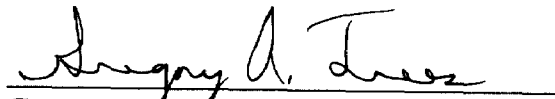
Brenda Block Koone
Notary Public
BRENDA BLOCK KOONE
NOTARY PUBLIC, STATE OF OHIO
MY COMMISSION EXPIRES MAY 23, 2003

ASSIGNMENT

David R. Busick
James E. Dvorsky
Gregory A. Trees
James H. Saunders

to
Battelle Pulmonary Therapeutics, Inc.


IN TESTIMONY WHEREOF I have hereunto set my hand and affixed my seal at Columbus, Ohio this
24 day of August, 2000.


Gregory A. Trees

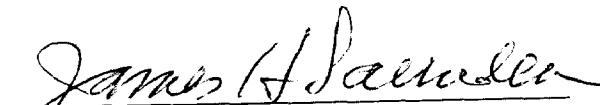
STATE OF OHIO)
 :SS
COUNTY OF FRANKLIN)

This 24th day of August, 2000, before me, a Notary Public in and for the County aforesaid,
personally appeared Gregory A. Trees, personally known to me and known to be the person described
in and who executed the foregoing assignment and acknowledged the same to be his voluntary act and
deed, and that he executed the same for the uses and purposes therein set forth.




Notary Public
BRENDA BLOCK KOONE
NOTARY PUBLIC, STATE OF OHIO
MY COMMISSION EXPIRES MAY 23, 2003

IN TESTIMONY WHEREOF I have hereunto set my hand and affixed my seal at Columbus, Ohio this
22 day of August, 2000.



James H. Saunders

STATE OF OHIO)
 :SS
COUNTY OF FRANKLIN)

This 22nd day of August, 2000, before me, a Notary Public in and for the County aforesaid,
personally appeared James H. Saunders, personally known to me and known to be the person described
in and who executed the foregoing assignment and acknowledged the same to be his voluntary act and
deed, and that he executed the same for the uses and purposes therein set forth.



Page 3 of 3


Notary Public
BRENDA BLOCK KOONE
NOTARY PUBLIC, STATE OF OHIO
MY COMMISSION EXPIRES MAY 23, 2003