

06-07-2001

RECORDATION FORM COVER SHEET  
PATENTS ONLY



TO: The Commissioner of Patents and Trademarks: Please record the attached original.

101741288

Submission Type

☒ New

☐ Resubmission (Non-Recordation)

Document ID#

☐ Correction of PTO Error

Reel #

Frame #

☐ Corrective Document

Reel #

Frame #

Conveyance Type

☒ Assignment

☐ Security Agreement

☐ License

☐ Change of Name

☐ Merger

☐ Other

U.S. Government

(For Use ONLY by U.S. Government Agencies)

☐ Departmental File

☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Name (line 1) David A. Pienkowski

Execution Date  
Month Day Year

05232001

Name (line 2)

Second Party

Name (line 1) Rodney J. Andrews

Execution Date  
Month Day Year

05242001

Name (line 2)

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1) University of Kentucky Research Foundation

Name (line 2) University of Kentucky

Address (line 1) Astecc Building

Address (line 2) Room A144

Address (line 3) Lexington

Kentucky

State/Country

40506

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

FOR OFFICE USE ONLY

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20503 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

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

PATENT  
REEL: 011858 FRAME: 0064

**Correspondent Name and Address**

Area Code and Telephone Number **859-252-0889**

Name **Warren D. Schickli**

Address (line 1) **King and Schickli, PLLC**

Address (line 2) **247 North Broadway**

Address (line 3)

Address (line 4) **Lexington, KY 40507**

**Pages**

Enter the total number of pages of the attached conveyance document including any attachments.

# **2**

**Application Number(s) or Patent Number(s)**

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

**Patent Application Number(s)**

**09/773,293**

**Patent Number(s)**

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

**Patent Cooperation Treaty (PCT)**

Enter PCT application number  
only if a U.S. Application Number  
has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

**Number of Properties**

Enter the total number of properties involved.

# **1**

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41): \$ **40.00**

Method of Payment:  
**Deposit Account**

Enclosed ☐ Deposit Account ☒

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

# **11-0978**

Authorization to charge additional fees:

Yes

☒

No

☐

**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.

Warren D. Schickli (Reg. No. 31,057)

Name of Person Signing

Signature

Date

ASSIGNMENT

WHEREAS, WE, David A. Pienkowski and Rodney J. Andrews, Lexington, Kentucky, have made a certain new and useful invention as set forth in an application for United States Letters Patent executed by us the 23<sup>rd</sup> day of May, 2001, entitled POLYMETHYLMETHACRYLATE AUGMENTED WITH CARBON NANOTUBES, ;

AND WHEREAS, UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION, a corporation of the Commonwealth of Kentucky, and having a place of business at Astecc Building, Room A144, Lexington, Kentucky 40506, is desirous of acquiring the entire right, title and interest in and to said invention and in and to any and all Letters Patent of the United States and foreign countries which may be obtained therefor;

NOW, THEREFORE, for good and valuable consideration, we do hereby sell, assign, transfer and set over unto UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION, its legal representatives, successors, and assigns, the entire right, title and interest in and to said invention as set forth in the above-mentioned application, and in and to any and all patents of the United States and foreign countries which may be issued for said invention;

UPON SAID CONSIDERATIONS, we hereby agree with the said assignee that we will not execute any writing or do any act whatsoever conflicting with these presents, and that we will, at any time upon request, without further or additional consideration but at the expense of the said assignee, execute such additional assignments and other writings and do such additional acts as said assignee may deem necessary or desirable to perfect the assignee's enjoyment of this grant, and render all necessary assistance in making application for and obtaining original, divisional, reexamined, reissued, or extended Letters Patent of the United States or of any and all foreign countries on said invention, and in enforcing any rights or choses in action accruing as a result of such applications or patents, by giving testimony in any proceedings or transactions involving such applications or patents, and by executing preliminary statements and other affidavits, it being understood that the foregoing covenant and agreement shall bind, and inure to the benefit of, the assigns and legal representatives of assignor and assignee;

WE hereby authorize and request our attorneys King and Schickli, PLLC of 247 North Broadway, Lexington, Kentucky 40507 to insert here in parentheses (Application Serial No. 09/773,293 ,

filed January 31, 2001 ) the serial number and filing date of this application when known.

AND we request the Commissioner of Patents and Trademarks to issue any Letters Patent of the United States which may be issued for said invention to said UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION, its legal representatives, successors or assigns, as the sole owner of the entire right, title and interest in and to said patent and the invention covered thereby.

  
DAVID A. PIENKOWSKI

COMMONWEALTH OF KENTUCKY )

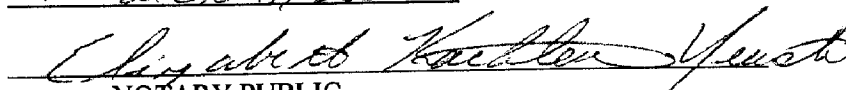
COUNTY OF Fayette ) SS:

On this 23<sup>rd</sup> day of May, 2001, before me personally appeared

DAVID A. PIENKOWSKI, to me known to be the person named in and who executed the above instrument, and acknowledged to me that he executed the same for the uses and purposes therein set forth.

My commission expires: March 6, 2002

SEAL

  
NOTARY PUBLIC

\*\*\*\*\*

  
RODNEY J. ANDREWS

COMMONWEALTH OF KENTUCKY )

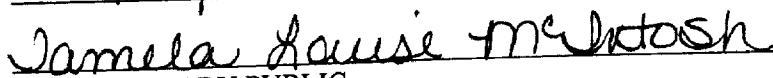
COUNTY OF Fayette ) SS:

On this 24 day of May, 2001, before me personally appeared

RODNEY J. ANDREWS, to me known to be the person named in and who executed the above instrument, and acknowledged to me that he executed the same for the uses and purposes therein set forth.

My commission expires: 9/15/03

SEAL

  
NOTARY PUBLIC