

07-10-2001

Docket No. 22564-7002US
Serial No. 09/846,430

FORM PTO-1595
6-21.01 REC



101772197

U.S. Department of Commerce
Patent and Trademark Office

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

1. Name and address of conveying party(ies):

Name: Jennifer H. Lai
 Address: 2434 Whitney Drive
Mountain View, CA 94303

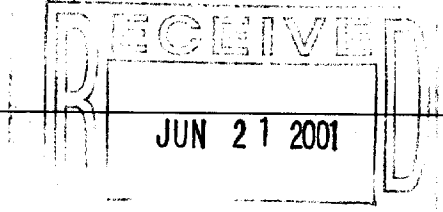
Individual Association
 General Partnership Limited Partnership
 Corporation Other:

Additional names of conveying parties attached?
 Yes No

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

Name: Quantum Dot Corporation
 Address: 26136 Research Road
Hayward, CA 94545

Additional name(s) of receiving party(ies) attached?
 Yes No



3. Nature of Conveyance:

Assignment Merger
 Security Agreement Change of Name Other:

Execution Dates: May 9, 2001 and May 17, 2001

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 Number(s): 09/846,430
 Additional numbers attached? Yes No

B. Patent Number(s): _____
 Additional numbers attached? Yes No

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

Name: Kenneth Barovsky, Ph.D.
 Address: Quantum Dot Corporation
26136 Research Road
Hayward, California 94545

6. Total number of applications and patents involved: 1

7. Total fee (37 C.F.R. § 3.41)(\$40.00 per assignment): \$40.00
 Enclosed
 Authorized to be charged to Deposit Account No. 50-1189.
 The Commissioner is authorized to charge underpayment of any fees or credit any overpayment to Deposit Account No. 50-1189.

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.

David W. Maher 40,077 *David Maher* 20
 Name Registration Number Signature Date
 June 16, 2001

Total number of pages including cover sheet, attachments and document: 10

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

07/10/2001 **MUELLER 00000048 501189 09846430**
01 FC:581 40.00 CH

Box 1 Additional Names and addresses from conveying parties:

Name: Vincent E. Phillips
Address: 863 Lewis Avenue
Sunnyvale, CA 94086

- | | | | |
|-------------------------------------|---------------------|--------------------------|---------------------|
| <input checked="" type="checkbox"/> | Individual | <input type="checkbox"/> | Association |
| <input type="checkbox"/> | General Partnership | <input type="checkbox"/> | Limited Partnership |
| <input type="checkbox"/> | Corporation | <input type="checkbox"/> | Other: |

Name: Andrew R. Watson
Address: 1 Spring Lane
Belmont, CA 94002

- | | | | |
|-------------------------------------|---------------------|--------------------------|---------------------|
| <input checked="" type="checkbox"/> | Individual | <input type="checkbox"/> | Association |
| <input type="checkbox"/> | General Partnership | <input type="checkbox"/> | Limited Partnership |
| <input type="checkbox"/> | Corporation | <input type="checkbox"/> | Other: |

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, we, the undersigned, inventors:

Jennifer H. Lai, 2435 Whitney Drive, Mountain View, CA 94303

Vincent E. Phillips, 863 Lewis Avenue, Sunnyvale, CA 94086

Andrew R. Watson, ~~2170 Emerson Street, Palo Alto, CA 94301~~

1 Spring Lane, Belmont, CA 94002

Amw 5/17/2001

Who have jointly created a certain invention for which an application for United States Letters Patent entitled METHODS AND COMPOSITIONS FOR POLYNUCLEOTIDE ANALYSIS USING GENERIC CAPTURE SEQUENCES has been executed and

is filed herewith;

was filed in the U.S. Patent and Trademark Office on April 30, 2001 as Attorney Docket No. 22564-7002US;

Do hereby sell, assign and transfer to Quantum Dot Corporation, a corporation, having a place of business at 26136 Research Road, Hayward, California 94545, its successors, assigns, and legal representatives, the full and exclusive right to said invention and said application and to any and all inventions described in said application for the United States, its territorial possessions and all foreign countries, and the entire right, title and interest in and to any and all Letters Patent which may be granted therefore in the United States, its territorial possessions and all foreign countries; and in and to any and all continuations-in-part, continuations, divisions, substitutes, reissues, extensions thereof, and all other applications for Letters Patent relating thereto which have been or shall be filed in the United States, its territorial possession and/or any foreign countries, and all rights, together with all priority rights, under any of the international conventions, unions, agreements, acts, and treaties, including all future conventions, unions, agreements, acts, and treaties;

Agree that Quantum Dot Corporation, hereinafter referred to as Assignee, may apply for and receive Letters Patent for said invention and said inventions, hereinafter referred to as said invention, in its own name, in the United States, its territorial possessions, and all foreign countries; and that, when requested to carry out in good faith the intent and purpose of this assignment, at the expense of said Assignee, its successors, assigns and legal representatives, the undersigned will execute all continuations-in-part, continuations, divisions, substitutes, reissues, extensions thereof, execute all rightful oaths, assignments, powers of attorney and other papers, testify in any legal or quasi legal proceedings; communicate to said Assignee, its successors, assigns or legal representatives all facts known to the undersigned relating to said invention and the history thereof; and generally do everything possible which said Assignee, its successors, assigns, or legal representatives shall consider desirable for aiding in securing, maintaining and enforcing proper patent protection for said invention and for vesting title to said invention and all applications for patents on said invention in said Assignee, successors, assigns, or legal representatives;

The terms "Application" and Application for Letters Patent" as used herein include both provisional and non-provisional applications;

Inventors hereby authorize the above-mentioned Assignee or its legal representative to insert in this instrument the filing date and serial number of said Application or any other information that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document; and

Covenant with said Assignee, its successors, assigns, or legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same has herein expressed is possessed by the undersigned.

IN THE TESTIMONY WHEREOF I have hereunto set my signature on the date indicated below.

JENNIFER H. LAI

Jennifer H. Lai
Date: 5/17/01

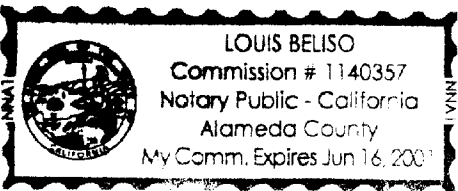
STATE OF CALIFORNIA

COUNTY OF Alameda

On May 17, 2001 before me, Louis Beliso, Notary Public,

personally appeared Jennifer H. Lai
NAME(S) OF SIGNER(S)

personally known to me - OR - proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



Witness my hand and official seal.

Louis Beliso
SIGNATURE OF NOTARY

OPTIONAL SECTION
CAPACITY CLAIMED BY SIGNER

Though statute does not require the Notary to fill in the data below, doing so may prove invaluable to persons relying on the document.

- INDIVIDUAL
- CORPORATE OFFICER(S)

TITLE(S)

- PARTNER(S) LIMITED
- GENERAL

- ATTORNEY-IN-FACT
- TRUSTEE(S)
- GUARDIAN/CONSERVATOR
- OTHER: _____

SIGNER IS REPRESENTING:
Name of Person(s) or Entity(ies)

Date: _____

STATE OF CALIFORNIA

COUNTY OF _____

On _____ before me, _____, Notary Public,

personally appeared _____
NAME(S) OF SIGNER(S)

personally known to me - **OR** - proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

Witness my hand and official seal.

SIGNATURE OF NOTARY

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- GUARDIAN/CONSERVATOR
- OTHER: _____

SIGNER IS REPRESENTING:
Name of Person(s) or Entity(ies)

ANDREW R. WATSON

A. R. Watson

Date: 5/17/2001

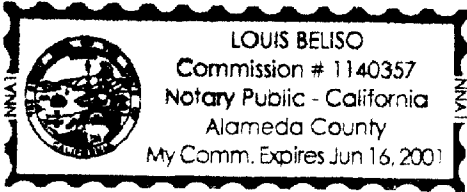
STATE OF CALIFORNIA

COUNTY OF Alameda

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personally appeared Andrew R. Watson
NAME(S) OF SIGNER(S)

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Louis Beliso
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- OTHER: _____

SIGNER IS REPRESENTING:

Name of Person(s) or Entity(ies)

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, we, the undersigned, inventors:

Jennifer H. Lai, 2435 Whitney Drive, Mountain View, CA 94303

Vincent E. Phillips, 863 Lewis Avenue, Sunnyvale, CA 94086

Andrew R. Watson, 2170 Emerson Street, Palo Alto, CA 94301

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- is filed herewith;
- was filed in the U.S. Patent and Trademark Office on April 30, 2001 as Attorney Docket No. 22564-7002US;

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Agree that Quantum Dot Corporation, hereinafter referred to as Assignee, may apply for and receive Letters Patent for said invention and said inventions, hereinafter referred to as said invention, in its own name, in the United States, its territorial possessions, and all foreign countries; and that, when requested to carry out in good faith the intent and purpose of this assignment, at the expense of said Assignee, its successors, assigns and legal representatives, the undersigned will execute all continuations-in-part, continuations, divisions, substitutes, reissues, extensions thereof, execute all rightful oaths, assignments, powers of attorney and other papers, testify in any legal or quasi legal proceedings; communicate to said Assignee, its successors, assigns or legal representatives all facts known to the undersigned relating to said invention and the history thereof; and generally do everything possible which said Assignee, its successors, assigns, or legal representatives shall consider desirable for aiding in securing, maintaining and enforcing proper patent protection for said invention and for vesting title to said invention and all applications for patents on said invention in said Assignee, successors, assigns, or legal representatives;

The terms "Application" and "Application for Letters Patent" as used herein include both provisional and non-provisional applications;

Inventors hereby authorize the above-mentioned Assignee or its legal representative to insert in this instrument the filing date and serial number of said Application or any other information that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document; and

Covenant with said Assignee, its successors, assigns, or legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same has herein expressed is possessed by the undersigned.

IN THE TESTIMONY WHEREOF I have hereunto set my signature on the date indicated below.

JENNIFER H. LAI

Date: _____

STATE OF CALIFORNIA

COUNTY OF _____

On _____ before me, _____, Notary Public,
personally appeared _____

NAME(S) OF SIGNER(S)

personally known to me - **OR** - proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

Witness my hand and official seal.

SIGNATURE OF NOTARY

OPTIONAL SECTION
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- INDIVIDUAL
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TITLE(S)

- PARTNER(S) LIMITED
- GENERAL
- ATTORNEY-IN-FACT
- TRUSTEE(S)
- GUARDIAN/CONSERVATOR
- OTHER: _____

SIGNER IS REPRESENTING:
Name of Person(s) or Entity(ies)

VINCENT E. PHILLIPS

Vincent E Phillips

Date: May 09, 2001

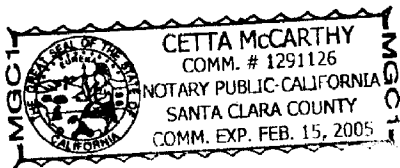
STATE OF CALIFORNIA

COUNTY OF Santa Clara

On 5-9-01 before me, Cetta McCarthy, Notary Public,

personally appeared Vincent E Phillips
NAME(S) OF SIGNER(S)

~~personally known to me~~ - OR - proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



Witness my hand and official seal.

Cetta McCarthy
SIGNATURE OF NOTARY

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