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

1. Name of conveying party(ies):

EMPEDOCLES, STEPHEN A.
TREADWAY, JOSEPH A.
WATSON, ANDREW R.

08/06/01

Additional name(s) of conveying parties attached? ☒ Yes ☐ No.

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
- ☐ Security Agreement ☐ Change of Name
- ☐ Other: _____

Execution Date: 06/04/01; 06/05/01; AND 06/07/01

2. Name and address of receiving party(ies)

Name: QUANTUM DOT CORPORATION

Internal Address: 26118 Research Road

Street Address: _____

City: Hayward State: CA ZIP: 94545

Additional names and addresses attached? ☐ Yes ☒ No

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): 09/827,013

B. Patent No(s): _____

Additional numbers attached? ☐ Yes ☒ No

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

Name: Mark D. Barrish
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved 1

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

- ☐ Enclosed
- ☒ Authorized to be charged to deposit account

8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

*To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.*Mark D. Barrish
Name of Person Signing
Atty. Reg. No. 36,443
Signature3 AUGUST 2001
Date

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

Mail documents to be recorded with required cover to:
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PA 3161562 v1

08/21/2001 GTDN11 00000200 201430 09827013

01 FC:581 40.00 CH

PATENT
REEL: 012082 FRAME: 0506

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, STEPHEN A. EMPEDOCLES, of 2507 Mardell Way, Mountain View, CA 94043; JOSEPH A. TREADWAY, of 34736 Bowie Common, Fremont, CA 94555; and ANDREW R. WATSON, of 1 Spring Lane, Belmont, CA 94002; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: DIFFERENTIABLE SPECTRAL BAR CODE
METHODS AND SYSTEMS

Filing Date: April 5, 2001

Application No.: 09/827,013; and

WHEREAS, QUANTUM DOT CORPORATION, located at 26136 Research Road, Hayward, CA, 94545, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 6/17/01


STEPHEN A. EMPEDOCLES

Dated: _____

JOSEPH A. TREADWAY

Dated: _____

ANDREW R. WATSON

ASSIGNMENT OF PATENT APPLICATION

JOINT

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For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

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IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: _____

STEPHEN A. EMPEDOCLES

Dated: 6/5/2001

JOSEPH A. TREADWAY

Dated: 6/14/2001

ANDREW R. WATSON