

09-21-2001



FLH Ref. No.: 674556-2003

FORM PTO-1595
(Rev. 6-93)

101851217

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 of conveying party(ies)

Kwang-Leong CHOY, Wei BAI, Isaac CHANG, Bo SU,

Imperial College of Science, Technology and Medicine,

Imperial College Innovations Limited

And

Birmingham University

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: Innovative Materials Processing Technologies Limited

Internal Address:

Street Address:

90 Fetter Lane

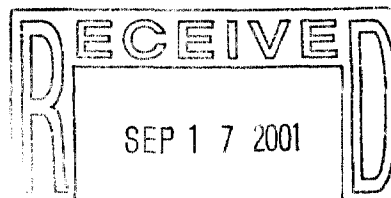
City: London State: GREAT BRITAIN Zip: EC4A 1JP

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

3. Nature of conveyance:

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

Execution Dates: September 13, 1999



4. Application number(s) or patent number(s): 09/091,456 filed June 15, 1998.

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Thomas J. Kowalski

Internal Address: Frommer, Lawrence and Haug, LLP

Street Address: 745 Fifth Ave

City: NYC State: NY Zip: 10151

6. Total number of applications and patents involved..... 1

7. Total fee (37 CFR 3.41)..... \$ 40

- ☒ Enclosed
☐ Authorized to be charged to deposit account #50-0320

8. Deposit account number: 50-0320
(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 information is true and correct and any attached copy is a true copy of the original document.

Thomas J. Kowalski Reg. No. 32,147

Name of Person Signing

Samuel H. H. H. H. H.
 Reg. No. 45,678 for
 Thomas J. Kowalski, 32,147

Signature

September 17, 2001

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PATENT
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**ASSIGNMENT OF UK PATENT APPLICATIONS AND
OF EQUIVALENT RIGHTS WORLDWIDE**

THIS ASSIGNMENT is made this 13th day of September 1999

BETWEEN

- (1) **DOCTOR KWANG-LEONG CHOY** of 35 Blondvil Street, Cheylesmore, Coventry, CV3 5EQ ("Dr Choy");
- (2) **DOCTOR WEI BAI** of 2206 Brandwine Parkway, Guilderland, NY12084, United States of America ("Dr Bai");
- (3) **DOCTOR ISAAC CHANG** of 35 Blondvil Street, Cheylesmore, Coventry, CV3 5EQ ("Dr Chang");
- (4) **DOCTOR BO SU** of 17 Norris, The Concourse, Colindale, London NW9 5UL ("Dr Su");

Collectively referred to hereafter as the **"Inventors"**; and

- (5) **IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND MEDICINE**, London SW7 2AZ ("Imperial");
- (6) **IMPERIAL COLLEGE INNOVATIONS LIMITED** (registered in England under number 2060639) whose registered office is at Sherfield Building, Imperial College, London SW7 2AZ ("IC Innovations");
- (7) **BIRMINGHAM UNIVERSITY**, Edgbaston, Birmingham, B15 2TT ("Birmingham"); and
- (8) **INNOVATIVE MATERIALS PROCESSING TECHNOLOGIES LIMITED (IMP TECHNOLOGIES)** (registered in England under number 3661153) whose registered office is at 90 Fetter Lane, London EC4A 1JP (the "Assignee")

WHEREAS:-

- (A) Imperial has applied to the Patent Office of the United Kingdom for patents under the Patents Act 1977 and all equivalents worldwide (the "Applications") in respect of the Inventions disclosed in the Applications (the "Inventions") as set out in Schedule 1 to this Agreement. By way of a series of agreements dated 13 May 1999 various of the patents listed in Schedule 1 were assigned to IC Innovations. The Inventions are the result of research carried out by the

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Inventors which has resulted in the development of novel chemical compositions, delivery systems and process to apply coatings to a surface (the "Technology").

- (B) Dr Choy and Dr Su are employed by and retained under contract of employment with Imperial. Dr Chang is similarly employed by and retained under a contract of employment with Birmingham. Dr Bai was employed by Imperial at the time of the research but has since left Imperial. In each case the relevant contract of employment stipulates that all intellectual property resulting from inventions and discoveries made by the employee in the course of such employment vest in Imperial and in Birmingham respectively.
- (C) By virtue of the fact that the Inventors were, at the time of the research leading to the Inventions, employed as described in Recital (B) above, Imperial and Birmingham claim certain interests in the Inventions. Further, the Inventors, Imperial, IC Innovations and Birmingham, are jointly, proprietors of certain know-how (the "Know-how") and confidential information (the "Confidential Information") relating to the said Inventions and Technology and such Know-how and Confidential Information includes but is not limited to copyright, design rights, technical information, all data or knowledge existing at the date of this Assignment relating to the development of the Inventions and Technology together with all other information relating to the materials, manufacturing techniques and other information necessary to put the technology into practice, properly, efficiently and on a reasonable scale.

REDACTED

- (E) The Assignee wishes to obtain full rights and title to the use of the said Know-how and Confidential Information, and the Inventors, Imperial, IC Innovations and Birmingham have agreed to assign and transfer all such right and title to the Assignee, and to disclose to it such of the Know-how and Confidential Information relating to the Inventions and Technology as is in the possession of the Inventors, Imperial, IC Innovations and Birmingham as at the date of this Assignment.
- (F) The Inventors, Imperial, IC Innovations and Birmingham (collectively referred to hereinafter as the "Assignors") have agreed to assign to the Assignee the Inventions and the Applications together with the Know-how, Confidential Information and the right to make further applications as a result of research currently being conducted arising from the Inventions and all their rights, title and interests therein upon the terms and conditions set out below

REDACTED

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NOW IT IS HEREBY AGREED AND DECLARED as follows:-

1. In pursuance of the agreement comprised in this Agreement and in consideration of the issue of 618 ordinary shares to IC Innovations in the capital of the Company now allotted by the Company to IC Innovations the Assignors with full title guarantee HEREBY ASSIGN unto the Assignee:
 - (a) the Inventions and the full and exclusive benefit of them
 - (b) all the rights of the Assignors in and to the Applications and the full and exclusive benefit of them and all rights privileges and advantages associated with them and the right to sue for damages and other relief in respect of past infringements;
 - (c) the full right to apply for and obtain patents or other similar forms of protection in respect of the Inventions in the United Kingdom and throughout the world;
 - (d) the right to make any new application or applications in respect of any part or parts of the subject-matter of any applications or specifications filed in connection with the Inventions in the United Kingdom and the right to claim priority under Section 5 of the Patents Act 1977 from the Applications;
 - (e) any patents under the Patents Act 1977 or other similar forms of protection granted in respect of the Inventions in the United Kingdom pursuant to the Applications;
 - (f) the right to bring proceedings (in the UK under Section 61 or Section 69 of the Patents Act 1977) for any previous infringement of the rights assigned by this Assignment;
 - (g) the right to claim priority of the Applications under the Paris Convention (as amended) when making applications in countries or territories outside the United Kingdom;
 - (h) all rights and title possessed by the Assignors in respect of the Know-how and Confidential Information and the full unfettered and exclusive worldwide right to use the Know-how and Confidential Information for any purpose whatsoever (including without limitation the filing of patent applications in respect of all or any aspect of it);

TO HOLD the same unto the Assignee absolutely.

2. The Inventors, Imperial, IC Innovations and Birmingham hereby COVENANT to disclose all the Know-how and Confidential Information known to the

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SCHEDULE 1 - UK AND EUROPEAN PATENT APPLICATIONS

APPLICATION NUMBER	APPLICANT	INVENTORS	DATE FILED	SUBJECT MATTER
PCT/GB96/03105	Imperial College	K L Choy W Bai	16 Dec 1996	Film or coating deposition and powder formation
PCT/GB98/01558	Imperial College	K L Choy W Bai	28 May 1998	Film or coating deposition on a substrate
PCT/GB/98/00414	Imperial College	K L Choy W Bai I Chang	10 Feb 1998	Fabrication method and apparatus
GB9814191.4	Imperial College	K L Choy W Bai	30 Jun 1998	Vapour deposition
PCT/GB98/02694	Imperial College	K L Choy W Bai	7 Sept 1998	Material deposition
UK 9900955.7	Imperial College	K L Choy B Su	14 Feb 1999	Material deposition
PCT/GB/98/03636	Imperial College	K L Choy I Chang	7 Dec 1998	Material deposition

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Signed for and on behalf of

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Imperial College of Science, Technology and Medicine

..... (Signature)
Professor William Wakeham, Pro-Rector

Imperial College Innovations Limited

 (Signature)
Dr Jonathan Gee, Chief Executive

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REEL: 012173 FRAME: 0483

Agreed to

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Imperial College of Science, Technology and Medicine

.....
Professor William Wakeham, Pro-Rector

(Signature)

Imperial College Innovations Limited

.....
Dr Jonathan Gee, Chief Executive

(Signature)

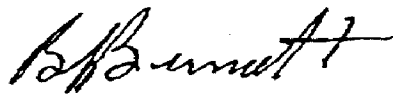
IN WITNESS of which this Assignment has been executed as a Deed and delivered the date and year first above written.

SIGNED AS A DEED by
KWANG- LEONG CHOY
in the presence of:

)
) 
)

Signature, name, address
and description of witness

B. G. BENNETT
30, BLONDVIL ST:
CHEYLER MORE
COVENTRY CV3 5EQ



SIGNED AS A DEED by
WEI BAI
in the presence of:

)
) 
)

Signature, name, address
and description of witness

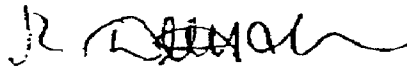
Tom TAO
280, JOHN R. GEEA DR.
N. ATTLEBORO, MA 02763, USA



SIGNED AS A DEED by
ISAAC CHANG
in the presence of:

) 
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Signature, name, address
and description of witness



J. WILLIAMSON
OF ELGAC NEWS
BLONSAVOE, WARRS.

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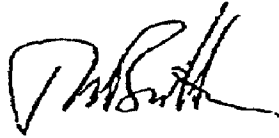
SIGNED AS A DEED by
BO SU
in the presence of:

)
)
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Signature, name, address
and description of witness


T. A. Burton
134 STATION ROAD
KAGWET, SOUTHALL
WEST MIDDLESEX 898 0EP



EXECUTED AS A DEED by
IMPERIAL COLLEGE OF
SCIENCE, TECHNOLOGY
AND MEDICINE

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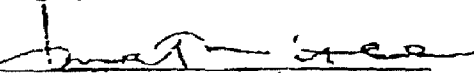
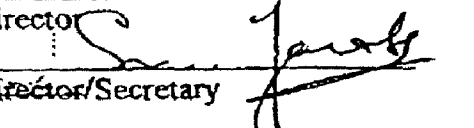
acting by:


R. J. G. G.

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IMPERIAL COLLEGE
INNOVATIONS LIMITED

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)

acting by:


Director

Director/Secretary

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acting by:

Director

Director/Secretary

**EXECUTED AS A DEED by
INNOVATIVE MATERIAL
PROCESSING TECHNOLOGIES LIMITED**

acting by

Director

Director/Secretary

THE COMMON SEAL OF
THE UNIVERSITY OF
BIRMINGHAM WAS
HEREUNTO AFFIXED
IN THE PRESENCE OF

AUTHORISED SIGNATORY

AUTHORISED SIGNATORY

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