



10-09-2001

KL Ref. No.: 100647-04030

FORM PTO-1595
(Rev. 6-93)

101867363

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)

Chunming Niu, David Moy, Jin Ma and Asif Chishti

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

☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: **Hyperion Catalysis International, Inc.**

Internal Address:

Street Address: **38 Smith Place**City: **Cambridge** State: **MA** Zip: **02138**

3. Nature of conveyance:

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

Execution Date: **September 14, 2001**Additional name(s) & address(es) 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) **09/861,370**

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: **Barry Evans, Esq.**Internal Address: **Kramer Levin Naftalis & Frankel LLP**Street Address: **919 Third Avenue**City: **New York** State: **New York** Zip: **10022**

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 # **50-0540**

8. Deposit account number: **50-0540**

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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.

Barry Evans, Esq.

Name of Person Signing

Signature

Date

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10/09/2001 GT0N11 00000020 09861370 Mail documents to be recorded with required cover sheet information to:

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RFCSP.PTO

Kramer Levin Naftalis & Frankel LLP
File No.: 100647-04030
Serial No.: 09/861,370
Filing Date: May 18, 2001

ASSIGNMENT

We, *Chunming Niu*, residing at 81 Fottler Avenue, Lexington, MA 02420, *David Moy*, residing at 18119 Coachmans Road, Germantown, MD 20874, *Jin Ma*, residing at 1047 Southern Artery No. 401, Quincy, MA 02169 and *Asif Chishti* residing at 1251 Pawtucket Blvd. #1, Lowell, MA 01852, respectively have made certain inventions or discoveries (or both) set forth in an application for Letters Patent of the United States of America entitled: **MODIFICATION OF CARBON NANOTUBES BY OXIDATION WITH PEROXYGEN COMPOUNDS**, which application was executed by us and **HYPERION CATALYSIS INTERNATIONAL, INC.**, whose address is 38 Smith Place Cambridge, MA 02138, and which, together with its successors and assigns is hereinafter called "Assignee," is desirous of acquiring the title, rights, benefits and privileges hereinafter recited, and of confirming the same or any part thereof heretofore acquired by Assignee.

Now, therefore, for valuable consideration furnished by Assignee to us, receipt and sufficiency of which we hereby acknowledge, we hereby, without reservation:

1. Assign and convey to and confirm in Assignee the entire right, title and interest in and to said inventions and discoveries, said application for Letters Patent of the United States of America, any and all other applications for Letters Patent on said inventions and discoveries in whatsoever countries, including all divisional, renewal, substitute, continuation and Convention applications based in whole or in part upon said inventions or discoveries or upon said applications, and any and all Letters Patent and reissues and extensions of Letters Patent granted for said inventions and discoveries or upon said applications, and every priority right that is or may be predicated upon or arise from said inventions, said discoveries, said applications and said Letters Patent;

2. Authorize Assignee to file patent applications in any or all countries on any or all of said inventions and discoveries in our names or in the name of Assignee or otherwise as Assignee may deem advisable, under the International Convention or otherwise;

3. Authorize and request the empowered officials of all governments to issue or transfer all said Letters Patent to Assignee, as assignee of the entire right, title and interest therein or otherwise as Assignee may direct;

4. Warrant that we have not knowingly conveyed to others any right in said inventions, discoveries, applications or patents or any license to use the same or to make, use or sell anything embodying or utilizing any of said inventions or discoveries; and that we have good right to assign the same to Assignee without encumbrance;

5. Bind our heirs and legal representatives, as well as ourselves to do, upon Assignee's request and at its expense, but without additional consideration to us or them, all acts reasonably serving to assure that the said inventions and discoveries, the said patent applications and the said Letters Patent shall be held and enjoyed by Assignee as fully and entirely as the same could have been held and enjoyed by us or our heirs or representatives if this assignment had not been made; and particularly to execute and deliver to Assignee all lawful application documents including petitions, specifications, and oaths, and all

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assignments, disclaimers, and lawful affidavits in form and substance as may be requested by Assigner, to communicate to Assignee all facts known to us relating to said inventions and discoveries or the history thereof, and to furnish Assignee with any and all documents, photographs, models, samples and other physical exhibits in our control or in the control of our heirs or legal representatives and which may be useful for establishing the facts of our conceptions, disclosures, and reduction to practice of said inventions and discoveries.

The effective date of this instrument is the 14 day of Sept.

In testimony of which we have affixed our signatures.


Channing Niu

State of Mass. }
County of Dorchester } ss.:

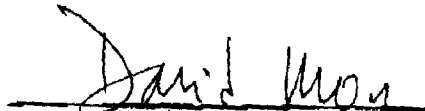
On this 14 day of September, 2001 before me appeared Channing Niu, to me known and known to me to be the person described in and who executed the foregoing instrument and he acknowledged the same to be his free act and deed.


Notary Public

(OFFICIAL SEAL)

BARBARA A. DIPAOLO
Notary Public

My Commission Expires 9-30-05


David Moy

State of Mass. }
County of Dorchester } ss.:

On this 14 day of September, 2001 before me appeared David Moy, to me known and known to me to be the person described in and who executed the foregoing instrument and he acknowledged the same to be his free act and deed.


Notary Public

(OFFICIAL SEAL)

BARBARA A. DIPAOLO
Notary Public

My Commission Expires 9-30-05

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HYPERION CATALYSIS

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PATENT


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Jun Ma

State of Mass.)
County of Middlesex) ss.:

On this 14 day of September, 2001 before me
appeared Jun Ma, to me known and known to me to be
the person described in and who executed the foregoing instrument
and he acknowledged the same to be his free act and deed.


Notary Public

(OFFICIAL SEAL)

BARBARA A. DIPAOLO

Notary Public

My Commission Expires 9-30-05
Asif Chishti

State of Mass.)
County of Middlesex) ss.:

On this 14 day of September, 2001 before me
appeared Asif Chishti, to me known and known to me to be
the person described in and who executed the foregoing instrument
and he acknowledged the same to be his free act and deed.


Notary Public

(OFFICIAL SEAL)

BARBARA A. DIPAOLO

Notary Public

My Commission Expires 9-30-05