



101889484

October 15, 2001
Attorney Docket No. 5051-440

To the Honorable Commission

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

North Carolina State University
1 Holladay Hall
Campus Box 7003
Raleigh, North Carolina

(101889)

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

The University of North Carolina at Chapel Hill
308 Bynum Hall
Campus Box 4105
Chapel Hill, North CarolinaAdditional name(s) of conveying party(ies) attached? Yes ☒ No

3. Nature of conveyance:

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

Execution Date: July 30, 2001

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

4. Application Serial No. 09/185,891 Patent No. 6,176,895

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

Additional numbers attached? Yes ☒ No

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

Robert J. Smith
Myers Bigel Sibley & Sajovec
P. O. Box 37428
Raleigh NC 27627

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: 50-0220

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.*Robert J. Smith 40,820
Name of Person Signing
SignatureOctober 15, 2001
Date

Total number of pages including cover sheet, attachments and document: 11

10/26/2001 6TON11 00000094 09185891

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ASSIGNMENT RECORDATION FORM

05-31-2001



101734239

To the Honorable Commissioner of Patents and T

May 22, 2001
Attorney Docket No. 5051-440

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

James B. McClain
Timothy J. Romack
Joseph M. DeSimone

5-24-01

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

North Carolina State University
1 Holladay Hall
Campus Box 7003
Raleigh, County of Wake, State of North Carolina

MAY 24 2001

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

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

Execution Date: November 14, 15 and December 5, 2000

The University of North Carolina
308 Bynum Hall
Campus Box 4105
City of Chapel Hill, County of Orange
State of North Carolina

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

4. Application Serial No. 09/185,891 Patent No.

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

Additional numbers attached? ☐ Yes ☒ No

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

Robert J. Smith
Myers Bigel Sibley & Sajovec
P. O. Box 37428
Raleigh NC 27627

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$40.00
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☐ Authorized to be charged to deposit account

8. Deposit account number: 50-0220

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.

Robert J. Smith, Reg. No. 40,820
Name of Person Signing

Robert J. Smith
Signature

May 22, 2001
Date

Total number of pages including cover sheet, attachments and document: 9

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PATENT
REEL: 012282 FRAME: 0094

ASSIGNMENT

THIS ASSIGNMENT, made by **North Carolina State University**, an educational institution having a principal place of business at 1 Holladay Hall, Campus Box 7003, Raleigh, County of Wake, State of North Carolina, hereinafter referred to as assignor;

WITNESS: That,

WHEREAS, we own the right, title, and interest of joint inventors **James B. McClain**, citizen of the United States of America, residing at 8008 Chadbourne Court, Raleigh, State of North Carolina, and **Timothy J. Romack**, citizen of the United States of America, residing at 201 Staffordshire Drive, Greenville, State of North Carolina, hereinafter referred to as joint inventors, of certain new and useful improvements in ***POLYMERS FOR METAL EXTRACTIONS IN CARBON DIOXIDE*** for which an application for United States Letters Patent has been filed in the United States Patent and Trademark Office on November 4, 1998, under Serial No. 09/185,891, and now issued as U.S. Patent No. 6,176,895, as evidenced by their executed assignment filed with the Patent Office on May 22, 2001, a copy of which is enclosed at **Tab A**. By virtue of the execution of this document as evidenced herein, the joint inventors hereby revoke their assignment to assignor. Assignor concurs in this revocation;

WHEREAS, **The University of North Carolina at Chapel Hill**, an educational institution having a principal place of business at 308 Bynum Hall, Campus Box 4105, City of Chapel Hill, County of Orange, State of North Carolina, hereinafter referred to as assignee, is desirous of acquiring the right, title and interest of the joint inventors in and to said invention as described in said application, and in and to any and all Letters Patent which shall be granted therefor in the United States of America and all foreign countries, which have been assigned from the joint inventors to assignor;

NOW, THEREFORE, To Whom It May Concern, be it known that for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, assignor does hereby sell, assign, transfer, and convey unto the said assignee, its successors and assigns, our right, title, and interest in and to the said invention and application limited to that assigned by the joint inventors as enclosed at **Tab A**, and in and to any and all continuations, continuations-in-part, or divisions thereof that the joint inventors have rights to, and in and to

any and all Letters Patent of the United States of America and all foreign countries or reissues thereof which may be granted therefor or thereon, for the full end of the term for which said Letters Patent may be granted, together with the right to claim the priority of said application in all foreign countries in accordance with the International Convention, the same to be held and enjoyed by said assignee, its successors and assigns, as fully and entirely as the same would have been held and enjoyed by us if this assignment and sale had not been made.

Assignor further covenant and agree that, at the time of the execution and delivery of these presents, that it possess title to the invention, application, and patent assigned by the joint inventors, and that it has the unencumbered right and authority to make this assignment.

I, the undersigned, hereby represent that I have the authority to carry out this assignment and bind the assignor.

of July, 2001.

David Winwood
Assistant Vice Chancellor for Technology Transfer
North Carolina State University


STATE OF NORTH CAROLINA)
)
COUNTY OF Wake) SS:

Before me personally appeared **David Winwood**, to me known to be the person described in and who executed the foregoing instrument, and he acknowledged to me that he executed the same for the purposes therein stated, this 30th day of July, 2001.

Wendy Sue Lutz
Notary Public

SEAL.

My Commission Expires: 9-13-05

 (SEAL)
James B. McClain

Simia O. Groening
Notary Public

IN WITNESS WHEREOF, I have hereunto set my hand and seal on this 13 day
of August, 2001.

Timothy J. Romack (SEAL)
Timothy J. Romack

STATE OF NORTH CAROLINA)
COUNTY OF Pitt) SS: 242-08-3695

Before me personally appeared **Timothy J. Romack**, to me known to be the person
described in and who executed the foregoing instrument, and he acknowledged to me that he
executed the same for the purposes therein stated, this 13th day of August, 2001.

Kathryn S. Kittrell
Notary Public

SEAL

My Commission Expires: November 21, 2001

ASSIGNMENT

THIS ASSIGNMENT, made by us, **James B. McClain**, citizen of the United States of America, residing at 8008 Chadbourne Court, Raleigh, State of North Carolina, and **Timothy J. Romack**, citizen of the United States of America, residing at 201 Staffordshire Drive, Greenville, State of North Carolina,

WITNESSETH: That,

WHEREAS, we are joint inventors of certain new and useful improvements in ***POLYMERS FOR METAL EXTRACTIONS IN CARBON DIOXIDE*** for which an application for United States Letters Patent has been filed in the United States Patent and Trademark Office on November 4, 1998, under Serial No. 09/185,891, and now issued as U.S. Patent No. 6,176,895, and

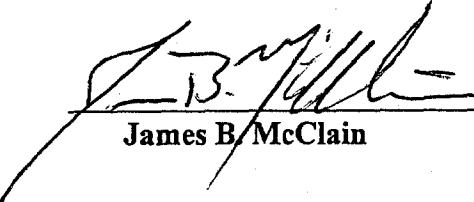
WHEREAS, **North Carolina State University**, an educational institution having a principal place of business at 1 Holladay Hall, Campus Box 7003, Raleigh, County of Wake, State of North Carolina, hereinafter referred to as assignee, is desirous of acquiring our entire right, title and interest in and to said invention as described in said application, and in and to any and all Letters Patent which shall be granted therefor in the United States of America and all foreign countries;

NOW, THEREFORE, To Whom It May Concern, be it known that for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, we have sold and by these presents do hereby sell, assign, transfer, and convey unto the said assignee, its successors and assigns, our entire right, title, and interest in and to the said invention and application, and in and to any and all continuations, continuations-in-part, or divisions thereof, and in and to any and all Letters Patent of the United States of America and all foreign countries or reissues thereof which may be granted therefor or thereon, for the full end of the term for which said Letters Patent may be granted, together with the right to claim the priority of said application in all foreign countries in accordance with the International Convention, the same to be held and enjoyed by said assignee, its successors and assigns, as fully and entirely as the same would have been held and enjoyed by us if this assignment and sale had not been made.

We further covenant and agree that, at the time of the execution and delivery of these presents, we possess title to the invention, application, and patent above-mentioned, and that we have the unencumbered right and authority to make this assignment.

We further covenant and agree to bind our heirs, legal representatives, and assigns promptly to communicate to said assignee or its representatives any facts known to us relating to said invention, to testify in any interference or legal proceedings involving said invention, to execute any additional papers which may be requested to confirm the right of the assignee, its representatives, successors, or assigns to secure patent or similar protection for the said invention in all countries and to vest in the assignee complete title to the said invention and Letters Patent, without further compensation, but at the expense of said assignee, its successors, assigns, and other legal representatives.

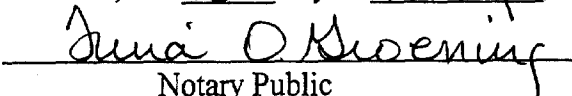
IN WITNESS WHEREOF, I have hereunto set my hand and seal on this 15th day of May, 2001.



James B. McClain (SEAL)

STATE OF NORTH CAROLINA)
) ss:
COUNTY OF Wake)

Before me personally appeared **James B. McClain**, to me known to be the person described in and who executed the foregoing instrument, and he acknowledged to me that he executed the same for the purposes therein stated, this 15th day of May, 2001.

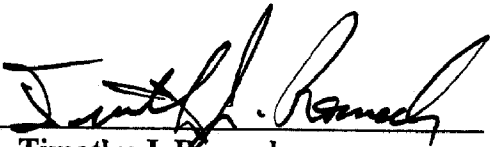


Notary Public

SEAL

My Commission Expires: 7/27/2003

IN WITNESS WHEREOF, I have hereunto set my hand and seal on this 4th day
of May, 2001.

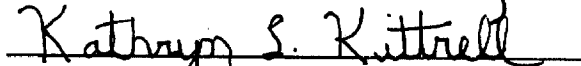
 (SEAL)
Timothy J. Romack

STATE OF NORTH CAROLINA)

COUNTY OF Pitt)

ss: 242-08-3695

Before me personally appeared **Timothy J. Romack**, to me known to be the person
described in and who executed the foregoing instrument, and he acknowledged to me that he
executed the same for the purposes therein stated, this 4th day of May, 2001.


Notary Public

SEAL

My Commission Expires: November 21, 2001

ASSIGNMENT

THIS ASSIGNMENT, made by us, **James B. McClain**, citizen of the United States of America, residing at 8008 Chadbourne Court, Raleigh, State of North Carolina, and **Timothy J. Romack**, citizen of the United States of America, residing at 201 Staffordshire Drive, Greenville, State of North Carolina,

WITNESSETH: That,

WHEREAS, we are joint inventors of certain new and useful improvements in ***POLYMERS FOR METAL EXTRACTIONS IN CARBON DIOXIDE*** for which an application for United States Letters Patent has been filed in the United States Patent and Trademark Office on November 4, 1998, under Serial No. 09/185,891, and now issued as U.S. Patent No. 6,176,895, and

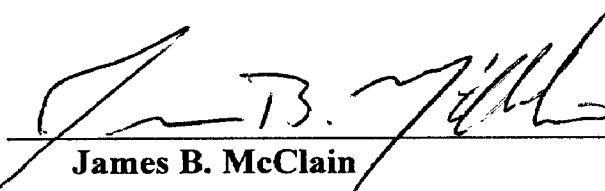
WHEREAS, **The University of North Carolina at Chapel Hill**, an educational institution having a principal place of business at 308 Bynum Hall, Campus Box 4105, City of Chapel Hill, County of Orange, State of North Carolina, hereinafter referred to as assignee, is desirous of acquiring our entire right, title and interest in and to said invention as described in said application, and in and to any and all Letters Patent which shall be granted therefor in the United States of America and all foreign countries;

NOW, THEREFORE, To Whom It May Concern, be it known that for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, we have sold and by these presents do hereby sell, assign, transfer, and convey unto the said assignee, its successors and assigns, our entire right, title, and interest in and to the said invention and application, and in and to any and all continuations, continuations-in-part, or divisions thereof, and in and to any and all Letters Patent of the United States of America and all foreign countries or reissues thereof which may be granted therefor or thereon, for the full end of the term for which said Letters Patent may be granted, together with the right to claim the priority of said application in all foreign countries in accordance with the International Convention, the same to be held and enjoyed by said assignee, its successors and assigns, as fully and entirely as the same would have been held and enjoyed by us if this assignment and sale had not been made.

We further covenant and agree that, at the time of the execution and delivery of these presents, we possess title to the invention, application, and patent above-mentioned, and that we have the unencumbered right and authority to make this assignment.

We further covenant and agree to bind our heirs, legal representatives, and assigns promptly to communicate to said assignee or its representatives any facts known to us relating to said invention, to testify in any interference or legal proceedings involving said invention, to execute any additional papers which may be requested to confirm the right of the assignee, its representatives, successors, or assigns to secure patent or similar protection for the said invention in all countries and to vest in the assignee complete title to the said invention and Letters Patent, without further compensation, but at the expense of said assignee, its successors, assigns, and other legal representatives.

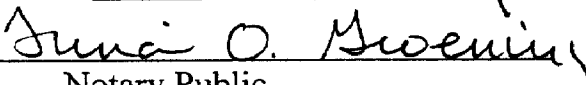
IN WITNESS WHEREOF, I have hereunto set my hand and seal on this 15th day of May, 2001.



James B. McClain (SEAL)

STATE OF NORTH CAROLINA)
) ss:
COUNTY OF Wake)

Before me personally appeared **James B. McClain**, to me known to be the person described in and who executed the foregoing instrument, and he acknowledged to me that he executed the same for the purposes therein stated, this 15th day of May, 2001.



Notary Public

SEAL

My Commission Expires: 7/27/2003

IN WITNESS WHEREOF, I have hereunto set my hand and seal on this 11 day
of May, 2001.

Timothy J. Romack (SEAL)
Timothy J. Romack

STATE OF NORTH CAROLINA)

COUNTY OF Pitt) ss: 242-08-3695

Before me personally appeared **Timothy J. Romack**, to me known to be the person
described in and who executed the foregoing instrument, and he acknowledged to me that he
executed the same for the purposes therein stated, this 11th day of May, 2001.

Kathryn S. Kittrell
Notary Public

SEAL

My Commission Expires: November 21, 2001

ASSIGNMENT

THIS ASSIGNMENT, made by me, **Joseph M. DeSimone**, citizen of the United States of America, residing at 7315 Crescent Ridge Drive, Chapel Hill, State of North Carolina,

WITNESSETH: That,

WHEREAS, I am a joint inventor of certain new and useful improvements in ***POLYMERS FOR METAL EXTRACTIONS IN CARBON DIOXIDE*** for which an application for United States Letters Patent has been filed in the United States Patent and Trademark Office on November 4, 1998, under Serial No. 09/185,891, and now issued as U.S. Patent No. 6,176,895, and

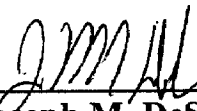
WHEREAS, **North Carolina State University**, an educational institution having a principal place of business at 1 Holladay Hall, Campus Box 7003, Raleigh, County of Wake, State of North Carolina, and **The University of North Carolina at Chapel Hill**, an educational institution having a principal place of business at 308 Bynum Hall, Campus Box 4105, City of Chapel Hill, County of Orange, State of North Carolina, hereinafter referred to as assignees, are desirous of acquiring my entire right, title, and interest in and to said invention as described in said application owned by assignor, and in and to any and all Letters Patent which shall be granted therefor in the United States of America and all foreign countries;

NOW, THEREFORE, To Whom It May Concern, be it known that for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, I have sold and by these presents do hereby sell, assign, transfer, and convey unto the said assignees, their successors and assigns, my entire right, title, and interest in and to the said invention and application, and in and to any and all continuations, continuations-in-part, or divisions thereof, and in and to any and all Letters Patent of the United States of America and all foreign countries or reissues thereof which may be granted therefor or thereon, for the full end of the term for which said Letters Patent may be granted, together with the right to claim the priority of said application in all foreign countries in accordance with the International Convention, the same to be held and enjoyed by said assignees, their successors, and assigns, as fully and entirely as the same would have been held and enjoyed by me if this assignment and sale had not been made.

I further covenant and agree that, at the time of the execution and delivery of these presents, I possess title to the invention, application, and patent above-mentioned, and that I have the unencumbered right and authority to make this assignment.

I further covenant and agree to bind my heirs, legal representatives, and assigns promptly to communicate to said assignees or their representatives any facts known to me relating to said invention, to testify in any interference or legal proceedings involving said invention, to execute any additional papers which may be requested to confirm the right of the assignees, their representatives, successors or assigns to secure patent or similar protection for the said invention in all countries and to vest in the assignees my complete title to the said invention and Letters Patent, without further compensation, but at the expense of said assignees, their successors, assigns, and other legal representatives.

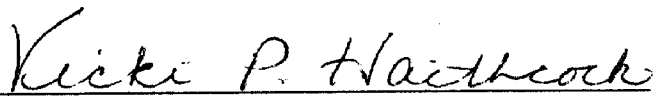
IN WITNESS WHEREOF, I have hereunto set my hand and seal on this 3rd day of May, 2001.



Joseph M. DeSimone (SEAL)

STATE OF NORTH CAROLINA)
 Alamance) ss:
COUNTY OF ~~GRANGE~~)

Before me personally appeared **Joseph M. DeSimone**, to me known to be the person described in and who executed the foregoing instrument, and he acknowledged to me that he executed the same for the purpose therein stated, this 3rd day of May, 2001.



Notary Public

SEAL

My Commission Expires: 9-27-05