

01-31-2002

Docket No. 41285/JWP/C766

REC

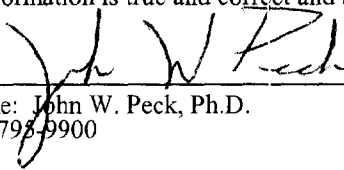
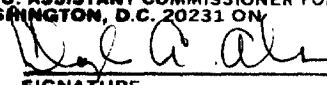


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Box Assignment  
Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Post Office Box 7068  
Pasadena, CA 91109-7068

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

<p><b>1. Name of conveying party(ies):</b> <span style="float: right;">1-18-02</span>  <b>Flavio Noca, Daniel S. Choi, Brian D. Hunt,  Michael E. Hoenk and Robert S. Kowalczyk</b></p> <p>Additional name(s) of conveying party(ies)  attached: <b>no</b></p>	<p><b>2. Name and address of receiving party(ies):</b></p> <p>Name: <b>CALIFORNIA INSTITUTE OF TECHNOLOGY</b></p> <p>Street Address:  <b>1200 East California Boulevard  Mail Stop 201-85  Pasadena, California 91125</b></p> <p>Additional name(s) &amp; address(es) attached? <b>no</b></p>		
<p><b>3. Name of conveyance:</b></p> <p><input checked="" type="checkbox"/> Assignment      <input type="checkbox"/> Merger  <input type="checkbox"/> Security Agreement      <input type="checkbox"/> Change of Name  <input type="checkbox"/> Other:</p> <p>Execution Date: <b>November 13, 2001, November 13, 2001, November 13, 2001, November 13, 2001 and November 13, 2001</b></p>	<p><b>4. Application number(s) or patent number(s):</b></p> <p>If this document is being filed together with a new application, the execution date of the application is: .</p> <table style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> <p><b>A. Patent Application No.(s)</b>  <u>09/791,493</u>  <u>PCT/US01/06035</u></p> </td> <td style="width: 50%; vertical-align: top;"> <p><b>B. Patent No.(s)</b></p> <div style="border: 1px solid black; padding: 5px; text-align: center;"> RECEIVED  JAN 18 2002 </div> </td> </tr> </table> <p>Additional numbers attached? <b>no</b></p>	<p><b>A. Patent Application No.(s)</b>  <u>09/791,493</u>  <u>PCT/US01/06035</u></p>	<p><b>B. Patent No.(s)</b></p> <div style="border: 1px solid black; padding: 5px; text-align: center;"> RECEIVED  JAN 18 2002 </div>
<p><b>A. Patent Application No.(s)</b>  <u>09/791,493</u>  <u>PCT/US01/06035</u></p>	<p><b>B. Patent No.(s)</b></p> <div style="border: 1px solid black; padding: 5px; text-align: center;"> RECEIVED  JAN 18 2002 </div>		
<p><b>5. Please return the recorded document and address all correspondence to:</b></p> <p><b>CHRISTIE, PARKER &amp; HALE, LLP</b>  P.O. Box 7068  Pasadena, CA 91109-7068  Attention: <b>John W. Peck, Ph.D.</b></p>	<p><b>6. Total number of applications and patents involved.....</b> <span style="border: 1px solid black; padding: 2px 10px;">2</span></p> <p><b>7. <input checked="" type="checkbox"/> Total fee enclosed (37 CFR 3.41):      \$ 80.00</b></p> <p><b>8. <input checked="" type="checkbox"/> Any deficiency or overpayment of fees should be charged or credited to <b>Deposit Account No. 03-1728</b>, except for payment of issue fees required under 37 CFR § 1.18. Please show our docket number with any credit or charge to our Deposit Account.</b></p>		
<p><b>10. <input type="checkbox"/> Explanatory letter is enclosed.</b></p>	<p><b>9. Statement and signature.</b>  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.</p> <p>Date: December 10, 2001</p> <p style="text-align: right;">By <u></u>  Name: <b>John W. Peck, Ph.D.</b>  626/798-9900</p> <p><small>I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE U.S. POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: ASSISTANT COMMISSIONER FOR PATENT, WASHINGTON, D.C. 20231 ON</small></p> <p><u>12/10/01</u>      <u></u>  DATE      SIGNATURE</p> <p style="text-align: right;">Total number of pages including cover sheet, attachments, and document: <span style="border: 1px solid black; padding: 2px 10px;">5</span></p>		

JWP/daa

DAA PAS401286.1-12/10/01 10:56 AM

**PATENT**  
**REEL: 012514 FRAME: 0789**

**ASSIGNMENT**

**WHEREAS, WE,**

**Flavio Noca**, residing at 3636 Canyon Crest Drive, Altadena, California 91001;  
**Daniel S. Choi**, residing at 3150 S. Sawtelle Boulevard, Apt. 101, Los Angeles, California 90066;  
**Brian D. Hunt**, residing at 2837 Frances Avenue, La Crescenta, California 91214;  
**Michael E. Hoenk**, residing at 25412 Via Herald, Valencia, California 91355, and  
**Robert S. Kowalczyk**, residing at 23426 Via Boscana, Santa Clarita, California 91355

have invented, along with **Jingming Xu**, certain new and useful improvements disclosed in an application for Letters Patent entitled **DEVELOPMENT OF A GEL-FREE MOLECULAR SIEVE BASED ON SELF-ASSEMBLED NANO-ARRAYS**, filed on February 22, 2001 as United States Patent Application No. 09/791,493; and as International Patent Application No. PCT/US01/06035.

**AND WHEREAS** California Institute of Technology, a California non-profit organization, having a place of business at 1200 East California Blvd., Mail Stop 201-85, Pasadena, California 91125 (hereafter, together with any successors, legal representatives or assigns thereof, called "ASSIGNEE") wants to acquire the entire right, title and interest of inventors Flavio Noca, Daniel S. Choi, Brian D. Hunt, Michael E. Hoenk and Robert S. Kowalczyk, in and to said improvements and application.

**NOW, THEREFORE**, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned, transferred and set over, and do hereby sell, assign, transfer and set over to ASSIGNEE our entire right, title and interest in and to said improvements, and said application and all divisions and continuations thereof, and all United States Letters Patents which may be granted thereon and all reissues, reexaminations and extensions thereof, and all priority rights under all available International Agreements, Treaties and Conventions for the protection of intellectual property in its various forms in every participating country, and all applications for patents (including related rights such as utility-model registrations, inventor's certificates, and the like) heretofore or hereafter filed for said improvements in any foreign countries, and all patents (including all continuations, divisions, extensions, renewals, substitutes, and reissues thereof) granted for said improvements in any foreign countries; and we hereby authorize and request the United States Commissioner of Patents and Trademarks, and any officials of foreign countries whose duty it is to issue patents on applications as aforesaid, to issue all patents for said improvements to ASSIGNEE in accordance with the terms of this Assignment;

**AND WE HEREBY** covenant that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith;

**AND WE HEREBY** further covenant and agree that we will communicate to ASSIGNEE any facts known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuation, substitute and reissue applications, make all rightful

oaths and generally do everything possible to aid ASSIGNEE to obtain and enforce proper patent protection for said improvements in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand this 13 day of November, 2001

  
FLAVIO NOCA

STATE OF California )  
COUNTY OF Los Angeles )

On November 13, 2001, before me Karen L. McLaughlin, Notary Public, personally appeared FLAVIO NOCA ~~personally known to me~~ (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.




WITNESS my hand and official seal.

Karen L. McLaughlin  
Signature of Notary

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IN TESTIMONY WHEREOF, I hereunto set my hand this 13 day of November, 2001.

  
DANIEL S. CHOI

STATE OF California )  
COUNTY OF Los Angeles )

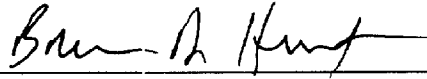
On November 13, 2001, before me Karen L. McLaughlin, Notary Public, personally appeared DANIEL S. CHOI ~~personally known to me~~ (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.



WITNESS my hand and official seal.

Karen L. McLaughlin  
Signature of Notary

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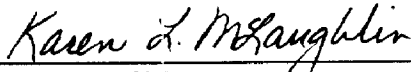
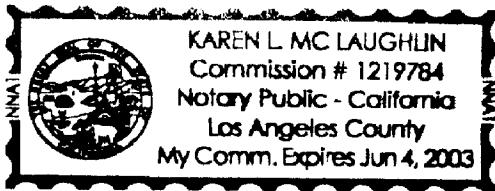
**ASSIGNMENT****Joint****Docket No. 42287/RAG/C766**IN TESTIMONY WHEREOF, I hereunto set my hand this 13th day of November, 2001.

BRIAN D. HUNT

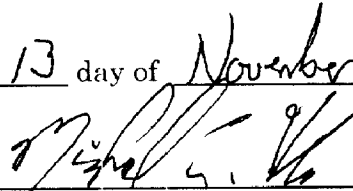
STATE OF California )  
COUNTY OF Los Angeles )

On November 13, 2001, before me Karen L. McLaughlin, Notary Public, personally appeared **BRIAN D. HUNT** ~~personally known to me~~ (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

  
Signature of Notary

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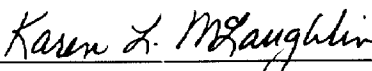
IN TESTIMONY WHEREOF, I hereunto set my hand this 13 day of November, 2001.

MICHAEL E. HOENK

STATE OF California )  
COUNTY OF Los Angeles )

On November 13, 2001, before me Karen L. McLaughlin, Notary Public, personally appeared **MICHAEL E. HOENK** ~~personally known to me~~ (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

  
Signature of Notary

\*\*\*\*\*

IN TESTIMONY WHEREOF, I hereunto set my hand this 13 day of November, 2001.

Robert Kowalczyk  
ROBERT S. KOWALCZYK

STATE OF California )  
COUNTY OF Los Angeles )

On November 13, 2001, before me Karen L. McLaughlin, Notary Public, personally appeared **ROBERT S. KOWALCZYK** ~~personally known to me~~ (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.



WITNESS my hand and official seal.

Karen L. McLaughlin  
Signature of Notary

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