

02-13-2002

EL 894957 792 US  
 RECORDATION FORM COVER SHEET  
 Patent and Trademark Office

ILY

ched original documents or copy thereof.

To the Honorable Commissioner

1. Name of conveying party(ies)  
 Xiaogang Peng  
 Zuoyan Peng  
 Lianhua Qu

101980856

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

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

Name: The Board of Trustees of the University of Arkansas

Internal Address:

Street Address: 2404 North University Avenue  
 Little Rock, Arkansas 72207-3608

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

3. Nature of conveyance:

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

Execution Date: Xiaogang Peng and Lianhua Qu - January 3, 2002  
 Zuoyan Peng - January 9, 2002

4. Application number(s) or registration number(s)

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

A. U.S. Patent Application Serial No(s). 09/971,780, filed October 4, 2001

Additional numbers attached? ☐ Yes ☒ No

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

Pat Winston Kennedy, Esq.  
 Kilpatrick Stockton LLP  
 1001 West Fourth Street  
 Winston-Salem, North Carolina 27101

6. Total number of applications and registrations involved: 1

7. Total fee (37 CFR 3.41)

\$ 40.00

☒ Enclosed Check No. 41805  
☒ Authorized any deficiencies to be charged to deposit account

8. Deposit account number: 16-1435

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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.

Pat Winston Kennedy  
 Name of Person Signing

Signature

Reg. No.  
 36,970

January 23, 2002  
 Date

Total number of pages including cover sheet: 11

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Assistant Commissioner for Patents  
 Box Assignment  
 Washington, D.C. 20231

40715-264039  
 WINLIB01:928565.1

02/12/2002 LMUELLER 00000226 09971780

01 FC:581

40.00 OP

PATENT  
 REEL: 012557 FRAME: 0332

# ASSIGNMENT

This Assignment made by us, Xiaogang Peng, a citizen of China, residing at 2668 Dewberry Court, City of Fayetteville, County of Washington, State of Arkansas 72701, Zuoyan Peng, a citizen of China, residing at 1175 W. Leroy Pond Drive, Apt. 119, City of Fayetteville, County of Washington, State of Arkansas 72701, and Lianhua Qu, a citizen of China, residing at ~~632 Putman Street, Apt. 38~~ <sup>685 N. Leverett Apt. 8</sup>, City of Fayetteville, County of Washington, State of Arkansas 72701, hereinafter referred to as "ASSIGNORS."

LQ  
01/03/2002

WITNESSETH: That,

WHEREAS, we are joint inventors of certain new and useful improvements in an invention entitled SYNTHESIS OF COLLOIDAL NANOCRYSTALS, UAF ID NO. 01-04, for which an application for Letters Patent of the United States has been made, Non-Provisional Application Serial Number 09/971,780 filed October 4, 2001;

WHEREAS, THE BOARD OF TRUSTEES OF THE UNIVERSITY OF ARKANSAS, a public body corporate established under the laws of the State of Arkansas and having a principal operation in the City of Little Rock, County of Pulaski, State of Arkansas, hereinafter referred to as "ASSIGNEE," is desirous of acquiring the entire right, title and interest of Xiaogang Peng, Zuoyan Peng and Lianhua Qu, in and to said invention as described in the above-referenced United States Patent Application, and any and all Letters patent which shall be granted therefor;

NOW, THEREFORE, To All Whom It May Concern, be it known that for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, we, the

said ASSIGNORS, have sold, assigned, transferred and set over unto the said ASSIGNEE, its successors and assigns, the ASSIGNORS entire right, title and interest in and to the above-mentioned application and invention and in and to any and all Letters Patent of the United States which may hereafter be granted therefore, and in any and to any and all continuations, continuations-in-part, substitutions, divisions or reissues of said Letters patent, the same to be held and enjoyed by the said ASSIGNEE, for its interest, and for its own use and behalf, and the use and behalf of its successors and assigns, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held and enjoyed by us had this assignment and sale not been made.

And for the consideration aforesaid, we hereby covenant and agree to and with the said ASSIGNEE, its successors and assigns, that at the time of the execution and delivery of these presents we are the lawful owners of the entire right, title and interest in and to the invention, application and Letters Patent above-mentioned and that the same are unencumbered, and that we have good right and lawful authority to sell and convey the same in the manner herein set forth.

And for the consideration aforesaid, we hereby covenant and agree to and with the said ASSIGNEE, its successors and assigns, that we will, whenever its counsel or the counsel of its successors and assigns, learned in the law, shall advise that an amendment, division continuation, continuation-in-part, or substitution of, or in any other proceeding in connection with said application, including interference proceedings, is lawful and desirable, sign all papers and drawings, take all rightful oaths, and do all acts necessary or required to

be done for the procurement of valid Letters Patent for said invention, or for the reissue of the same without charge to said ASSIGNEE, its successors or assigns, but at its or their expense.

We hereby request the Assistant Commissioner for Patents to issue the Letters Patent in accordance with this instrument.

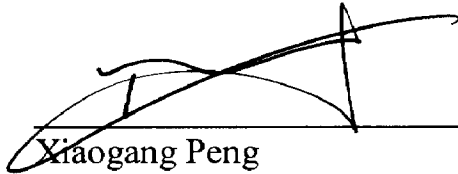
For the consideration aforesaid, we have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, assigns, or nominee, the entire right, title and interest of Xiaogang Peng, Zuoyan Peng, and Lianhua Qu, in and to any and all Letters Patent for said invention which may be granted in countries foreign to the United States and in and to any application for Letters Patent which may be filed for said invention in countries foreign to the United States and in and to the invention described in said application; and we hereby authorize and empower the said ASSIGNEE, its successors, assigns or nominees to apply for Letters Patent or other form of protection on said invention in its own name or in the name of its successor, assignee, or nominee, in any and all countries where it may desire to file such application and where said application may be filed by another than the inventor; and we hereby covenant and agree to sign all papers and drawings, take all rightful oaths, and to do all acts necessary or required to be done for procurement of Letters Patent, or other form of protection, for said invention or inventions in countries foreign to the United States, and for further inventing or confirming the right and title therein to the ASSIGNEE, its successors, assignee, or nominee,

without charge to said ASSIGNEE, its successor, assignee or nominee, but at its or their expense.

IN WITNESS WHEREOF, we have respectively set our hands and seals on the dates

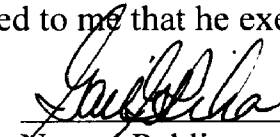
provided below:

Date: 4/03/02

  
Xiaogang Peng

STATE OF ARKANSAS  
COUNTY OF WASHINGTON

On this 3<sup>rd</sup> day of Jan, 200~~1~~<sup>2</sup>, before me personally appeared Xiaogang Peng, to me known and known to me to be the individual described in and who executed the foregoing instrument, and he acknowledged to me that he executed the same.

  
Notary Public

My Commission Expires: 11-2-09

Date: \_\_\_\_\_

\_\_\_\_\_  
Zuoyan Peng

STATE OF ARKANSAS  
COUNTY OF WASHINGTON

On this \_\_\_\_\_ day of \_\_\_\_\_, 2001, before me personally appeared Zuoyan Peng, to me known and known to me to be the individual described in and who executed the foregoing instrument, and he acknowledged to me that he executed the same.

\_\_\_\_\_  
Notary Public

My Commission Expires: \_\_\_\_\_

Date: 01/03/2002

Lianhua Qu  
Lianhua Qu

STATE OF ARKANSAS  
COUNTY OF WASHINGTON

On this 3<sup>RD</sup> day of Jan, 2002, before me personally appeared Lianhua Qu, to me known and known to me to be the individual described in and who executed the foregoing instrument, and he acknowledged to me that he executed the same.

[Signature]  
Notary Public

My Commission Expires: 11-2-09

40715-264039  
WINLIB01:918352.1

## ASSIGNMENT

This Assignment made by us, Xiaogang Peng, a citizen of China, residing at 2668

Dewberry Court, City of Fayetteville, County of Washington, State of Arkansas 72701, Zuoyan

Peng, a citizen of China, residing at 51-F Knights Bridge, City of Guilderland, County of Albany,

State of New York 12084, and Lianhua Qu, a citizen of China, residing at 685 N. Leverett Ave.,

Apt. #8, City of Fayetteville, County of Washington, State of Arkansas 72701, hereinafter

referred to as "ASSIGNORS."

WITNESSETH: That,

WHEREAS, we are joint inventors of certain new and useful improvements in an

invention entitled SYNTHESIS OF COLLOIDAL NANOCRYSTALS, UAF ID NO. 01-04, for

which an application for Letters Patent of the United States has been made, Non-Provisional

Application Serial Number 09/971,780 filed October 4, 2001;

WHEREAS, THE BOARD OF TRUSTEES OF THE UNIVERSITY OF ARKANSAS, a

public body corporate established under the laws of the State of Arkansas and having a principal

operation in the City of Little Rock, County of Pulaski, State of Arkansas, hereinafter referred to

as "ASSIGNEE," is desirous of acquiring the entire right, title and interest of Xiaogang Peng,

Zuoyan Peng and Lianhua Qu, in and to said invention as described in the above-referenced

United States Patent Application, and any and all Letters patent which shall be granted therefor;

NOW, THEREFORE, To All Whom It May Concern, be it known that for good and

valuable consideration, the receipt and sufficiency of which is hereby acknowledged, we, the said

ASSIGNORS, have sold, assigned, transferred and set over unto the said ASSIGNEE, its

successors and assigns, the ASSIGNORS entire right, title and interest in and to the above-mentioned application and invention and in and to any and all Letters Patent of the United States which may hereafter be granted therefore, and in any and to any and all continuations, continuations-in-part, substitutions, divisions or reissues of said Letters patent, the same to be held and enjoyed by the said ASSIGNEE, for its interest, and for its own use and behalf, and the use and behalf of its successors and assigns, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held and enjoyed by us had this assignment and sale not been made.

And for the consideration aforesaid, we hereby covenant and agree to and with the said ASSIGNEE, its successors and assigns, that at the time of the execution and delivery of these presents we are the lawful owners of the entire right, title and interest in and to the invention, application and Letters Patent above-mentioned and that the same are unencumbered, and that we have good right and lawful authority to sell and convey the same in the manner herein set forth.

And for the consideration aforesaid, we hereby covenant and agree to and with the said ASSIGNEE, its successors and assigns, that we will, whenever its counsel or the counsel of its successors and assigns, learned in the law, shall advise that an amendment, division continuation, continuation-in-part, or substitution of, or in any other proceeding in connection with said application, including interference proceedings, is lawful and desirable, sign all papers and drawings, take all rightful oaths, and do all acts necessary or required to be done for the procurement of valid Letters Patent for said invention, or for the reissue of the same without charge to said ASSIGNEE, its successors or assigns, but at its or their expense.



We hereby request the Assistant Commissioner for Patents to issue the Letters Patent in accordance with this instrument.

For the consideration aforesaid, we have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, assigns, or nominee, the entire right, title and interest of Xiaogang Peng, Zuoyan Peng, and Lianhua Qu, in and to any and all Letters Patent for said invention which may be granted in countries foreign to the United States and in and to any application for Letters Patent which may be filed for said invention in countries foreign to the United States and in and to the invention described in said application; and we hereby authorize and empower the said ASSIGNEE, its successors, assigns or nominees to apply for Letters Patent or other form of protection on said invention in its own name or in the name of its successor, assignee, or nominee, in any and all countries where it may desire to file such application and where said application may be filed by another than the inventor; and we hereby covenant and agree to sign all papers and drawings, take all rightful oaths, and to do all acts necessary or required to be done for procurement of Letters Patent, or other form of protection, for said invention or inventions in countries foreign to the United States, and for further inventing or confirming the right and title therein to the ASSIGNEE, its successors, assignee, or nominee, without charge to said ASSIGNEE, its successor, assignee or nominee, but at its or their expense.

IN WITNESS WHEREOF, we have respectively set our hands and seals on the dates provided below:

Date: \_\_\_\_\_

\_\_\_\_\_  
Xiaogang Peng


STATE OF ARKANSAS  
COUNTY OF WASHINGTON

On this \_\_\_\_\_ day of \_\_\_\_\_, 2002, before me personally appeared Xiaogang Peng, to me known and known to me to be the individual described in and who executed the foregoing instrument, and he acknowledged to me that he executed the same.

\_\_\_\_\_  
Notary Public

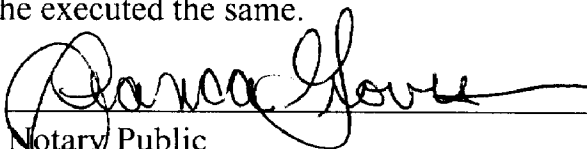
My Commission Expires: \_\_\_\_\_

Date: 01/09/02

  
Zuoyan Peng

STATE OF NEW YORK  
COUNTY OF ALBANY

On this 9<sup>th</sup> day of January 2002, before me personally appeared Zuoyan Peng, to me known and known to me to be the individual described in and who executed the foregoing instrument, and he acknowledged to me that he executed the same.

  
Notary Public

My Commission Expires: 11/13/2005  
Qualified in Albany County  
Registration No: 01GR6066259

Date: \_\_\_\_\_

\_\_\_\_\_  
Lianhua Qu

STATE OF ARKANSAS  
COUNTY OF WASHINGTON

On this \_\_\_\_\_ day of \_\_\_\_\_, 2002, before me personally appeared Lianhua Qu, to me known and known to me to be the individual described in and who executed the foregoing instrument, and he acknowledged to me that he executed the same.

\_\_\_\_\_  
Notary Public

My Commission Expires: \_\_\_\_\_

40715-264039  
WINLB01:918352.2