

03-19-2002



102021105

3.4.02

RECORDATION FORM COVER SHEET
PATENTS ONLY

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

☐ New

☐ Resubmission (Non-Recordation)

Document ID#

☐ Correction of PTO Error

Reel #

Frame #

☒ Corrective Document

Reel #

012190

Frame #

0797

Conveyance Type

☒ Assignment

☐ Security Agreement

☐ License

☐ Change of Name

☐ Merger

☐ Other

U.S. Government

(For Use ONLY by U.S. Government Agencies)

☐ Departmental File

☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Name (line 1) Regents of the University of California, The

Execution Date
Month Day Year
12 18 2000

Name (line 2)

Second Party

Name (line 1)

Execution Date
Month Day Year

Name (line 2)

Receiving Party

☒ Mark if additional names of receiving parties attached

Name (line 1) Matthys, Eric

Name (line 2)

Address (line 1) 1263 San Antonio Creek Road

Address (line 2)

Address (line 3) Santa Barbara

CA

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

FOR OFFICE USE ONLY

03/18/2002 TDIAZ1 00000098 60057924

01 FC:581

120.00 DP

Correspondent Name and Address

Area Code and Telephone Number

(949) 223-9600

Name Daniel L. Dawes

Address (line 1) MYERS, DAWES & ANDRAS LLP

Address (line 2) 19900 MacArthur Boulevard

Address (line 3) Suite 1150

Address (line 4) Irvine, CA 92612

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

15

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

60057924

09148029

PCTUS9920220

If this document is being filed together with a new Patent Application, enter the date the patent application was

Month Day Year

Patent Cooperation Treaty (PCT)

Enter PCT application number only if a U.S. Application Number has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

Number of Properties

Enter the total number of properties involved.

3

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$ 120.00

Method of Payment:

Enclosed ☒

Deposit Account ☐

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the

Deposit Account Number:

01-1960

Authorization to charge additional fees:

Yes

☒

No

☐

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. Charges to deposit account are authorized, as indicated herein.

Daniel L. Dawes

Name of Person Signing

Signature

Feb. 21, 2002

Date

RECORDATION FORM COVER SHEET
CONTINUATION
PATENTS ONLY

U.S. Department of Commerce
Patent and Trademark Office
PATENT

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1)

Execution Date
Month Day Year

Name (line 2)

Execution Date
Month Day Year

Name (line 1)

Name (line 2)

Execution Date
Month Day Year

Name (line 1)

Name (line 2)

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1)

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

Name (line 1)

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

FORM PTO-1595 (Modified)
(Rev. 6-93)
OMB No. 0651-0011 (exp. 4/94)
Copyright 1994-97 LegalStar
P08/REV02

RECO

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Tab settings → → → ▼ ▼

To the Honorable Commissioner of Patents and

original documents or copy thereof.

1. Name of conveying party(ies):

The Regents of the University of California
1111 Franklin Street, 12th floor
Oakland, CA 94607-

Additional names(s) of conveying party(ies) ☐ Yes ☒ No

3. Nature of conveyance:

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

Execution Date: 12/18/00 for P368, P368b, and P368 PCT

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

Name: Eric Matthys

Internal Address: _____

Street Address: 1263 San Antonio Creek RoadCity: Santa Barbara State: CA ZIP: 93111Additional name(s) & address(es) attached? ☐ Yes ☒ No

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

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

A. Patent Application No.(s)

60/057924
09/148029
PCT/US99/20220

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Daniel L. Dawes

Internal Address: _____

Street Address: MYERS, DAWES & ANDRAS LLP19900 MacArthur Boulevard, Suite 1150City: Irvine State: CA ZIP: 926126. Total number of applications and patents involved: 37. Total fee (37 CFR 3.41):.....\$ 120.00

- ☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account
☐ Authorized to be charged to deposit account

8. Deposit account number:

01-1960

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.

Daniel L. Dawes

Name of Person Signing

Signature

9/17/01

Date

Total number of pages including cover sheet, attachments, and document: 3

PATENT

419/01

RECORDATION FORM COVER SHEET

PATENTS ONLY

Docket No.: Matthys P368 Series

CE
Tice

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

1. Name of conveying party(ies):

The Regents of the University of California
1111 Franklin Street, 12th Floor
Oakland, CA 94607

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

Name: Eric Matthys

Internal Address: _____

Street Address: 1263 San Antonio Creek Road

City: Santa Barbara State: CA ZIP: 93111

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

Additional names(s) of conveying party(ies) ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other _____

12/18/00 for P368, 12/18/00 for

Execution Date: P368b & 12/18/00 for P368 PCT

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

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

A. Patent Application No.(s)

60/057924

09/148029

PCT/US99/20220

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Additional numbers attached? ☐ Yes ☒ No

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19900 MacArthur Boulevard, Suite 1150

City: Irvine State: CA ZIP: 92612

6. Total number of applications and patents involved:

3

7. Total fee (37 CFR 3.41):.....\$ 120.00

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01-1960

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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.

Daniel L. Dawes

Name of Person Signing

Daniel L. Dawes
Signature

4 April 2001
Date

Total number of pages including cover sheet, attachments, and document: 3

PATENT

corrected sheet

REEL: 012709 FRAME: 0457

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. The Regents of the University of California

2. _____

3. _____

4. _____

hereby sells, assigns and transfers to ASSIGNEES, Eric Matthys located at 1263 San Antonio Creek Road, and Kazimir Gasljevic located at 2519 Chapala, both of Santa Barbara, California, and the successors, assigns and legal representatives of the ASSIGNEES all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

Method to Control Heat Transfer in Fluids Containing Drag-Reducing Additives

and which is found in

(a) _____ U.S. provisional application filed herewith and listing the above named persons as inventors

(b) _____ U.S. patent application filed herewith and listing the above named persons as inventors

(c) X U.S. patent application no. 09/148,029 filed on September 3, 1998

(d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that the ASSIGNEES will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEES or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEES, Eric Matthys and Kazimir Gasljevic.

executed this

Signature of Inventor(s)

18th day of December, 2000

Linda S. Stevenson
Linda S. Stevenson

_____ day of _____, 20____

_____ day of _____, 20____

_____ day of _____, 20____

PATENT

REEL: 012709 FRAME: 0458

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- | | |
|---|----------|
| 1. <u>The Regents of the University of California</u> | 2. _____ |
| 3. _____ | 4. _____ |

hereby sells, assigns and transfers to ASSIGNEES, Eric Matthys located at 1263 San Antonio Creek Road, and Kazimir Gasljevic located at 2519 Chapala, both of Santa Barbara, California, and the successors, assigns and legal representatives of the ASSIGNEES all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

Method to Control Heat Transfer in Fluids Containing Drag-Reducing Additives

and which is found in

- (a) _____ U.S. provisional application filed herewith and listing the above named persons as inventors
- (b) _____ U.S. patent application filed herewith and listing the above named persons as inventors
- (c) X U.S. provisional application no. 60/057,924 filed on September 4, 1997
- (d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that the ASSIGNEES will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEES or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

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executed this

Signature of Inventor(s)

18th day of December, 2000

Linda S. Stevenson
Linda S. Stevenson

_____ day of _____, 20____

_____ day of _____, 20____

_____ day of _____, 20____

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(b) _____ U.S. patent application filed herewith and listing the above named persons as inventors

(c) X PCT patent application no. PCT/US99/20220 filed on September 2, 1999

(d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all under all International Conventions for the Protection of Industrial Property;

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executed this

Signature of Inventor(s)

18th day of December, 2000.

Linda S. Stevenson
Linda S. Stevenson

_____ day of _____, 20____

_____ day of _____, 20____

_____ day of _____, 20____
