

03-28-2002

ocket No.: DC4937

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office



102034378

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2002 FEB 27

FINANCE SECRETARY

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

1. Name of conveying party(ies):

Bethany K. Johnson  
John Joseph Kennan  
Feifei Lin

2:27:02

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date: **October 24, 2001**

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

Name: **Dow Corning Corporation**

Address: **2200 W. Salzburg Road**

P.O. Box 994



00137

PATENT TRADEMARK OFFICE

City: **Midland**

State/Prov.: **MI**

Country: **USA**

ZIP: **48686-0994**

Additional name(s) & address(es)

☐ Yes ☒ No

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

If this document is being filed together with a new application, the execution date of the application is: **October 24, 2001**

Patent Application No.

Filing date

B. Patent No.(s)

**10/001,753**

**October 24, 2001**

**Document I.D. Number from corresponding Notice of Non-Recordation: 101915013**

Additional numbers

☐ Yes ☒ No

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

Name: **Charles Richard**

Registration No. **46,187**



Address: **Dow Corning Corporation**

00137

PATENT TRADEMARK OFFICE

**Intellectual Property Department - CO1232**

**P.O. Box 994**

City: **Midland**

State/Prov.: **MI**

Country: **USA**

ZIP: **48686-0994**

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ **40.00**

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

☒ Authorized to be charged to deposit account

*Added*

8. Deposit account number:

**04-1520**

03/27/2002 101421

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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.

**Charles Richard**

*Charles Richard*

**12 Feb 2002**

Name of Person Signing

Signature

Date

4

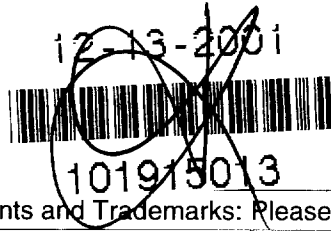
Total number of pages including cover sheet, attachments, and

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Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

**PATENT**  
**REEL: 12712 FRAME: 0964**

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Docket No.: DC4937

HEET

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):

Bethany K. Johnson  
John Joseph Kennan  
Feifei Lin

10-24-01

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date: October 24, 2001

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

Name:

DOW CORNING CORPORATION

Address:



00137

PATENT TRADEMARK OFFICE

City:

State/Prov.:

Country:

ZIP:

Additional name(s) & address(es)

☐ 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: October 24, 2001

Patent Application No.

Filing date

B. Patent No.(s)

10/001753

Additional numbers

☐ Yes ☒ No

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

Name: **Charles Richard**

Registration No. **46,187**

Address:



00137

PATENT TRADEMARK OFFICE

City:

State/Prov.:

Country:

ZIP:

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:

**04-1520**

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.

**Charles Richard**

Name of Person Signing

Signature

Charles Richard

24 October 2001

Date

Total number of pages including cover sheet, attachments, and

4

PATENT

REEL: 12712 FRAME: 0965

1000 U.S. PTO  
10/001753  
10/24/01  
12/12/2001  
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## ASSIGNMENT

WHEREAS We, Bethany K. Johnson of Midland, County of Midland and State of Michigan; and John Joseph Kennan of Midland, County of Midland and State of Michigan, and Feifei Lin of Midland, County of Midland and State of Michigan have invented certain new and useful improvements in

### SILICON BASED QUATERNARY AMMONIUM FUNCTIONAL COMPOSITIONS AND THEIR APPLICATIONS

for which application for United States Letters Patent has been executed by us on  
October 24, 2001, and

WHEREAS, the Dow Corning Corporation, a corporation organized and existing under the Laws of the State of Michigan, having its principal place of business at Midland, Michigan, U.S.A., is desirous of acquiring the said invention and said application and any and all Letters Patent that may be obtained therefore or thereupon, and all reissues and extensions thereof;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, be it known that for and in consideration of the sum of One Dollar (\$1.00), and other good and valuable considerations, to us in hand paid by the said Dow Corning Corporation, the receipt of which is hereby acknowledged, we have sold, assigned, transferred and set over and by these presents do sell, assign, transfer and set over unto the said Dow Corning Corporation, its successors, and assigns, the full and exclusive right, title and interest in and to the said invention and said application for Letters Patent of the United States therefore, and in and to any Divisions and Continuations thereof and in and to any and all United States Letters Patent and reissues and extensions thereof that may be issued for the said invention, to have and to hold for its own use and behoof and the use and behoof of its successors and assigns as fully and entirely as the same might be enjoyed by us if this sale and assignment had not been made; and

HEREBY AUTHORIZE and request the Commissioner of Patents and Trademarks to issue the said Letters Patent and any reissues and extensions thereof to the said Dow Corning Corporation as assigns of the entire right, title and interest in and to the said invention and said application and Letters Patent issued therefore or thereupon; and

HEREBY AGREE to execute all instruments and documents within my power which may be necessary for the carrying out of this assignment in full; and to execute any divisional or continuing application or applications which may be necessary or proper to obtain full protection on the invention hereby assigned; and to execute any and all supplemental oaths and preliminary statements should the same be proper and necessary in the prosecution of the aforesaid applications; and

HEREBY FURTHER ASSIGN unto the said Dow Corning Corporation, its successors, and assigns, the whole right, title and interest in and to the invention disclosed in the said application throughout all countries foreign to the United States, and do hereby ratify any acts of the said Dow Corning Corporation, its successors and assigns, in applying for patents therefore in its own name in countries where such procedure is proper and do agree to execute applications for said invention in the several countries where it is necessary that the same be executed by the inventors, and to execute assignments of such applications and the patents to be obtained therefore to the said Dow Corning Corporation, its successors and assigns.

IN WITNESS WHEREOF I have hereunto set my hand and affixed my seal this 24<sup>th</sup> day of October, 2001.

Bethany K. Johnson  
BETHANY K. JOHNSON

STATE OF Michigan )  
 ) SS,  
COUNTY OF Bay )

On this 24<sup>th</sup> day of October, 2001, before me personally appeared Bethany K. Johnson to me known to be the person described in and who executed the foregoing instrument and acknowledged that she executed the same as her free act and deed.

**NOTARY PUBLIC, SAGINAW COUNTY, MICHIGAN**  
**MY COMMISSION EXPIRES JUNE 28, 2004**  
 ACTING IN *Bay County*

Cheryl A. Castle  
Notary Public

IN WITNESS WHEREOF I have hereunto set my hand and affixed my seal this 24<sup>th</sup> day of October, 2001.

John Joseph Kennan  
JOHN JOSEPH KENNAN

STATE OF Michigan )  
 ) SS,  
COUNTY OF Bay )

On this 24th day of October, 2001, before me personally appeared John Joseph Kennan to me known to be the person described in and who executed the foregoing instrument and acknowledged that he executed the same as his free act and deed.

**Cheryl A. Castle**  
**NOTARY PUBLIC, SAGINAW COUNTY, MICHIGAN**  
**MY COMMISSION EXPIRES JUNE 28, 2004**  
**ACTING IN** *Bay County*

Cheryl A. Castle  
Notary Public