

6/21/02

06-27-2002



Form PTO-1595

(Rev. 03/01)

RECC

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

OMB No. 0651-0027 (exp. 5/31/2002)

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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):

Richard E. Smalley; Robert H. Hauge
Wan-Ting Chiang; Kenneth A. Smith
Wilbur Carter Kittrell; Zhenning Gu

2. Name and address of receiving party(ies)

Name: William Marsh Rice University

Internal Address: _____

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

3. Nature of conveyance:



Assignment



Merger



Security Agreement



Change of Name



Other _____

05/08/2002; 05/30/2002

05/02/2002; 05/22/2002

Execution Date: 06/14/2002; 05/02/2002

Street Address: 6100 Main Street

City: Houston State: Texas Zip: 77005

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

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

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

A. Patent Application No.(s)

60/268,228; 60/284,419; 10/071,166

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Ross Spencer Garsson

Internal Address: Winstead Sechrest & Minick P.C.

Street Address: P.O. Box 50784

1201 Main Street

City: Dallas State: Texas Zip: 752500784

6. Total number of applications and patents involved: **3**

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

☒ Enclosed☒ Authorized to be charged to deposit account

8. Deposit account number:

23-2426

(Attach duplicate copy of this page if paying by deposit account)

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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.

Ross Spencer Garsson

Name of Person Signing

Signature

June 21, 2002

Date

06/26/2002

DBYRNE

00000119 60268228

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

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120.00

All documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

11321-P021US

PATENT
REEL: 013021 FRAME: 0487

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the Assignor, has co-invented a new and useful invention entitled:

**GAS-PHASE PROCESS FOR PURIFYING SINGLE-WALL
CARBON NANOTUBES AND COMPOSITIONS THEREOF**

_____ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

 X for which reference a full description is here made in an application for Letters Patent of the United States Serial No. 10/071,166 filed on February 8, 2002.

WHEREAS, the undersigned inventor(s), hereinafter called the Assignor, has also co-invented two other new and useful invention which are identified as follows:

PURIFIED SINGLE-WALL CARBON NANOTUBES, filed with the U.S. Patent and Trademark Office on February 12, 2001 under Serial No. 60/268,228; and

METHOD FOR PURIFYING SINGLE-WALL CARBON NANOTUBES AND COMPOSITIONS THEREOF, filed with the U.S. Patent and Trademark Office on April 17, 2001 under Serial No. 60/284,419.

WHEREAS, **William Marsh Rice University**, a University, having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the Assignee, is desirous of acquiring the entire right, title and interest in and to said inventions, the applications above identified, and in, to and under Letters Patents which may be obtained for said inventions, as hereinafter more fully set forth;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the applications herein above identified, and all Letters Patents that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patents for the said invention may issue.

FURTHER, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in said applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

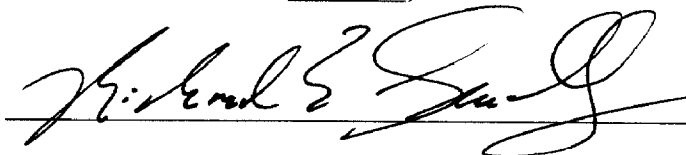
And the Assignor does hereby covenant and agree, for himself and his legal representatives, that they will assist the Assignee in the prosecution of the applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as herein before set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patents herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said invention, and at the expense of the Assignee, testify in any legal proceedings, and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

RICHARD E. SMALLEY
a resident of Houston, Texas

Dated: 5/8/02



ROBERT H. HAUGE
a resident of Houston, Texas

Dated: _____

WAN-TING CHIANG
a resident of Ponca City, Oklahoma

Dated: _____

KENNETH A. SMITH
a resident of Houston, Texas

Dated: _____

RICHARD E. SMALLEY
a resident of Houston, Texas

Dated: _____

ROBERT H. HAUGE
a resident of Houston, Texas

Dated: _____

Robert H. Hauge 5/30/02

WAN-TING CHIANG
a resident of Ponca City, Oklahoma

Dated: _____

KENNETH A. SMITH
a resident of Houston, Texas

Dated: _____

RICHARD E. SMALLEY
a resident of Houston, Texas

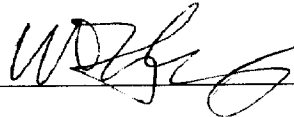
Dated: _____

ROBERT H. HAUGE
a resident of Houston, Texas

Dated: _____

WAN-TING CHIANG
a resident of Ponca City, Oklahoma

Dated: 05-02-02

_____

KENNETH A. SMITH
a resident of Houston, Texas

Dated: _____

RICHARD E. SMALLEY
a resident of Houston, Texas

Dated: _____

ROBERT H. HAUGE
a resident of Houston, Texas

Dated: _____

WAN-TING CHIANG
a resident of Ponca City, Oklahoma

Dated: _____

KENNETH A. SMITH
a resident of Houston, Texas

Dated: 5-22-02

Kenneth A. Smith

WILBUR CARTER KITTRELL
a resident of Houston, Texas

Dated: 6/14/02

Wilbur Carter Kittrell

ZHENNING GU
a resident of Houston, Texas

Dated: _____

DALLAS_136415083
11321-P021US - 04/22/2002

WILBER CARTER KITTRELL
a resident of Houston, Texas

Dated: _____

ZHENNING GU
a resident of Houston, Texas

Dated: 05/02/2002

Zhenning Gu

DALLAS_I\3641508\3
11321-P021US - 04/22/2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Richard E. Smalley et al.
Serial No.: 10/071,166

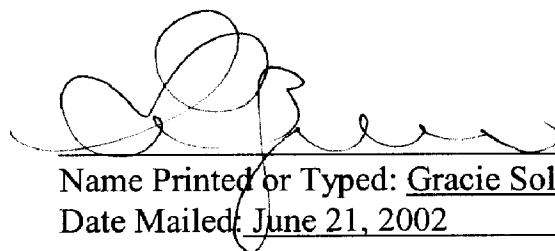
For: GAS-PHASE PROCESS FOR PURIFYING SINGLE-WALL CARBON NANOTUBES
AND COMPOSITIONS THEREOF

Sir:

EXPRESS MAIL CERTIFICATE OF MAILING

I hereby certify that this Recordaton Form Cover Sheet, Assignment of Invention, Check (No. 001331) for \$120.00, and Acknowledgment Postcard are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" with sufficient postage, (Mailing Label No. EL 823 269 645 US) Express Mail service under 37 C.F.R. §1.10 on the date indicated below and is addressed to:

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



Name Printed or Typed: Gracie Solis
Date Mailed: June 21, 2002

AUSTIN_1\192507\1
11321-P021US 06/21/2002