Form PTO-1595 (Rev. 03/01) OMB No. 0651-0027 (exp. 5/31/2002) Tab settings RECORDATION FORM COVER SHEET PATENTS ONLY V U.S. DEPARTMENT OF COMMERCE U.S. 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): Mark P. Mattson Robert C. Haddon Apparao M. Rao		Name: University	of receiving party(ies) of Kentucky Research Foundation	
Additional name(s) of conveying party(les)	attached? La Yes La No			
Nature of conveyance:	_			
Assignment Security Agreement	☐ Merger☐ Change of Name	Street Address: <u>F</u>	Astecc Bldg., Room A144	
□ Other		City: Lexington	State: <u>KY</u> Zip: 40506	
Execution Date: November 5, 2001		Additional name(s) & a	ddress(es) attached? 📮 Yes 🛂 No	
4. Application number(s) or paten	t 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) 09/920,213		B. Patent No.(s)		
l Additional numbers attached? 🖵 Yes 🖳 No				
Name and address of party to vector concerning document should be		6. Total number of app	plications and patents involved: 1	
Name: Warren D. Schickli		7. Total fee (37 CFR 3	3.41)\$40.00	
Internal Address: 434-240		🖫 Enclosed		
		Authorized to I	be charged to deposit account	
Street Address: King & Schickl	i PLLC	8. Deposit account no	umber: 11-0978	
247 North Broadway			·	
City:LexingtonState:i	CY Zip; 40507	(Attach duplicate copy o	of this page If paying by deposit account)	
DO NOT USE THIS SPACE				
9. Statement and signature. To the best of my knowledge a. is a true copy of the original do Warren D. Schickli Name of Person Signir	cument	nformation is true and of the Signature	correct and any attached copy 12/31/02 Date	
Total <u>n.</u>	umber of pages including cove	er sheet, attachments, and do	ocuments: 5	

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

> PATENT **REEL: 013324 FRAME: 0587**

1/02 <u>14:47 FAX</u> 8592520779

Docket No. 434-240

ASSIGNMENT

WHEREAS, WE, Mark P. Mattson of Bel Air, Maryland; Robert C. Haddon of Riverside, California;

and Apparao M. Rao of Anderson, South Carolina have made a certain new and useful invention as set forth in an

application for United States Letters Patent, executed by us on the 3rd day of August, 2001, entitled MOLECULAR

FUNCTIONALIZATION OF CARBON NANOTUBES AND USE AS SUBSTRATES FOR NEURONAL

GROWTH;

AND WHEREAS, UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION, a corporation

of the Commonwealth of Kentucky, and having a place of business at Astecc Building, Room A144, Lexington,

Kentucky 40506, is desirous of acquiring the entire right, title and interest in and to said invention and in and to any

and all Letters Patent of the United States and foreign countries which may be obtained therefor;

NOW, THEREFORE, for good and valuable consideration, we do hereby sell, assign, transfer and

set over unto UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION, its legal representatives, successors, and

assigns, the entire right, title and interest in and to said invention as set forth in the above-mentioned application, and

in and to any and all patents of the United States and foreign countries which may be issued for said invention;

UPON SAID CONSIDERATIONS, we hereby agree with the said assignee that we will not execute

any writing or do any act whatsoever conflicting with these presents, and that we will, at any time upon request, without

further or additional consideration but at the expense of the said assignee, execute such additional assignments and other

writings and do such additional acts as said assignee may deem necessary or desirable to perfect the assignee's

enjoyment of this grant, and render all necessary assistance in making application for and obtaining original, divisional,

reexamined, reissued, or extended Letters Patent of the United States or of any and all foreign countries on said

invention, and in enforcing any rights or choses in action accruing as a result of such applications or patents, by giving

testimony in any proceedings or transactions involving such applications or patents, and by executing preliminary

statements and other affidavits, it being understood that the foregoing covenant and agreement shall bind, and inure to

the benefit of, the assigns and legal representatives of assignor and assignee;

PATENT

REEL: 013324 FRAME: 0588

11/19/2002 TUE 00:50 FAX

WE hereby authorize and request our attorneys King and Schickli, PLLC of 247 North Broadway, Lexington, Kentucky 40507 to insert here in parentheses (Application Serial No. 09/920,213 , filed August 1, 2001) the serial number and filing date of this application when known.

AND we request the Commissioner of Parents and Trademarks to issue any Letters Patent of the United States which may be issued for said invention to said UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION, its legal representatives, successors or assigns, as the sole owner of the entire right, title and

LOCIADIA I FOLK IN YABAN KAL		
interest in and to said patent	and the invention covered thereby.	wh Q. Watts
STATE OF Let	icky)	VIAT 130N
COUNTY OF Jay	tle'	
On this//#X	day of	\mathcal{U}_{-} , 2002, before me personally appeared
MARK P. MATTSON, to m	te known to be the person named in a	and who executed the above instrument, and
acknowledged to me that he	executed the same for the uses and pu	urposes therein set forth.
Му сотп	nission expires: 11/6/2006.	Nice.
SEAL	NOTARY	Kylliam)
	金沙沙水水桥的水水石的地名美国	ata pia pia daa nja bil bil bil bil bil bil bil
	ROBERT	C. HADDON
STATE OF		
COUNTY OF		
On this _	day of	
appeared ROBERT C. HAI	ODON, to me known to be the person	named in and who executed the above instrument,
and acknowledged to me th	at he executed the same for the uses a	and purposes therein set forth.
My com	mission expires:	
\$ E A L	NOTARY	Y PUBLIC
	计图片图记图法据 电光电电电电电电电电电电电电电电电电电电电电电电电电电电电电电电电电电电电	**************************************

Lexington, Kentucky 40507 to insert here in parentheses (Application Serial No. 09/920,213 , filed August 1, 2001) the serial number and filing date of this application when known.

AND we request the Commissioner of Patents and Trademarks to issue any Letters Patent of the United States which may be issued for said invention to said UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION, its legal representatives, successors or assigns, as the sole owner of the entire right, title and interest in and to said patent and the invention covered thereby.

MA	RK P. MATTSON			
STATE OF				
COUNTY OF	· .			
On this day of	, 2002, before me personally appeared MARK			
P. MATTSON, to me known to be the person named in and who executed the above instrument, and acknowledged				
to me that he executed the same for the uses and purposes therein set forth.				
My commission expires:				
S É A L	-			
	TARY PUBLIC			
谢谢谢谢谢明郑睢随谢求求本水本水泳本本永永本本水本 本水本本。				
<u>R</u>	BERT C. HADDON			
STATE OF CALIFORNIA				
COUNTY OF KIVERSIDE				
On this day of, 2002, before me personally appeared				
ROBERT C. HADDON, to me known to be the person named in and who executed the above instrument, and				
acknowledged to me that he executed the same for the uses and purposes therein set forth.				
My commission expires:	ery 31, 200 6			
SEAL NO.	thleen Muney			



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PATENT REEL: 013324 FRAME: 0590

STATE OF

COUNTY OF

November, 2001, before me personally appeared

APPARAO M. RAO, to me known to be the person named in and who executed the above instrument, and acknowledged to me that he executed the same for the uses and purposes therein set forth.

. _ .My commission expires: