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PATENTS ONLY

Commissioner for Patents. Please record the attached original documents or copy thereof.

Name of conveying party(ies): Jonathan Phillips, William L.
Perry, Chun-Ku Chen
Additional name(s) of conveying
party(ies) attached? ☐ Yes ☒ No

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

Name: The Regents of the University of California

Address:

Los Alamos National Laboratory

LC/IP, MS A187

Los Alamos, NM 87545

Additional name(s) address(es) attached

☐ Yes ☒ No

3. Nature of Conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ OtherExecution Date: November 14, 2002

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) S-97,775

B. Patent No.(s)

Additional numbers attached ☐ Yes ☒ No5. Name and address of party to whom correspondence
concerning document should be mailed:

Name: Samuel L. Borkowsky

Registration No.: 42,346

Address: Los Alamos National Laboratory
LC/IP, MS A187
Los Alamos, NM 87545

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41):

\$ 40.00

☐ Enclosed☒ Authorized to be charged to deposit account8. Deposit account number 12-2150

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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.

Samuel L. Borkowsky

Signature

November 15, 2002

Date

Name of person signing

Total number of pages: 3

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PATENT
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ASSIGNMENT

DOE S-97,775

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

1. Jonathan Phillips
2. William L. Perry
3. Chun-Ku Chen
4. _____
5. _____
6. _____

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, Fifth Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE 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 titled:

METHOD FOR PRODUCING CARBON NANOTUBES

and which is found in

- (a) ☒ U.S. patent application executed on November 14, 2002, entitled as above and listing the above-named person(s) as inventor(s)
- (b) ☐ U.S. application Serial No. _____, filed on _____
- (c) ☐ U.S. Patent No. _____, issued _____
- (d) ☐ U.S. provisional application filed on _____, entitled as above and listing the above-named person(s) as inventor(s)

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 or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights 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 ASSIGNEE 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 ASSIGNEE 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 ASSIGNEE, The Regents of the University of California.


executed this

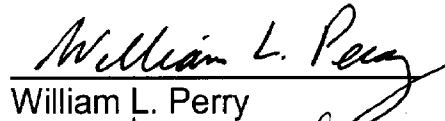
14 day of November, 2002

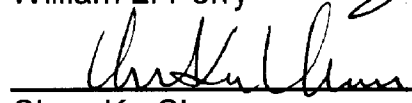
14 day of November, 2002

14 day of November, 2002

Signature of Inventor(s)


Jonathan Phillips


William L. Perry


Chun-Ku Chen