

05-05-2003

Docket No.: 3230.1004-001

RECORDATION

5-2-03 PAT



102438142

To the Commissioner, United States Patent and Trademark Office. Please record the attached original documents or copy thereof.

<p>1. Name of conveying party(ies)</p> <p>1) Jonathan S. Dordick 2) Lakshmi Santhanam</p> <p>Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>2. Name and address of receiving party(ies)</p> <p>Name: <u>Rensselaer Polytechnic Institute</u></p> <p>Internal Address: _____</p> <p>_____</p>		
<p>3. Nature of conveyance:</p> <p><input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger</p> <p><input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name</p> <p><input type="checkbox"/> Other _____</p> <p>Execution Date: <u>1) 03/13/03 2) 04/07/03</u></p>	<p>Street Address: <u>110 Eighth St.</u></p> <p>_____</p> <p>City: <u>Troy</u> State: <u>NY</u> ZIP: <u>12180</u></p> <p>Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>		
<p>4. Application number(s) or patent number(s):</p> <p>If this document is being filed together with a new application, the execution date of the application is: _____</p> <table border="1"> <tr> <td data-bbox="84 882 763 1081"> <p>A. Patent Application No.(s)</p> <p><u>10/287,434</u></p> </td> <td data-bbox="763 882 1526 1081"> <p>B. Patent No.(s)</p> <p>_____</p> </td> </tr> </table> <p>Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>		<p>A. Patent Application No.(s)</p> <p><u>10/287,434</u></p>	<p>B. Patent No.(s)</p> <p>_____</p>
<p>A. Patent Application No.(s)</p> <p><u>10/287,434</u></p>	<p>B. Patent No.(s)</p> <p>_____</p>		
<p>5. Name and address of party to whom correspondence concerning document should be mailed:</p> <p>Name: <u>Carolyn S. Elmore, Esq.</u></p> <p>Internal Address: _____</p> <p><u>Hamilton, Brook, Smith & Reynolds, P.C.</u></p> <p>_____</p> <p>Street Address: <u>530 Virginia Road, P.O. Box 9133</u></p> <p>_____</p> <p>City: <u>Concord</u> State: <u>MA</u> ZIP: <u>01742-9133</u></p>	<p>6. Total number of applications and patents involved: <u>[1]</u></p> <p>7. Total Fee (37 C.F.R. 3.41)..... \$ <u>40.00</u></p> <p><input checked="" type="checkbox"/> Enclosed</p> <p><input checked="" type="checkbox"/> Authorized to charge any deficiencies or credit any overpayment to deposit account</p> <p><input type="checkbox"/> Authorized to be charged to deposit account</p> <p>8. Deposit account number:</p> <p><u>08-0380</u></p> <p>(Attach duplicate copy of this page if paying by deposit account)</p>		

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 FINANCE SECTION

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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.

<p><u>Carolyn S. Elmore</u></p> <p>Name of Person Signing</p>	<p>Signature</p>	<p><u>4/28/03</u></p> <p>Date</p>
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Total number of pages including cover sheet, attachments, and document: [7]

05/02/2003 LIMEILLER 00000012 10287434

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PATENT
REEL: 014012 FRAME: 0761

Multi-JointASSIGNMENT

WHEREAS, we, **Jonathan S. Dordick** and **Lakshmi Santhanam** together with co-inventors **Michael G. Hogg** and **James A. Holland**, have invented a certain improvement in **SOLID-PHASE ARRAY-BASED BIOCATALYTIC TRANSFORMATIONS** described in an application for Letters Patent of the United States, the specification of which:

☐ is being executed on even date herewith and is about to be filed in the United States Patent Office;

☒ was filed on **November 1, 2002** as Application No. **10/287,434**;

☐ was patented under U.S. Patent No. ☐ on ☐.

WHEREAS, **Rensselaer Polytechnic Institute** (hereinafter "ASSIGNEE"), a non-profit organization organized and existing under the laws of the **State of New York** and having a usual place of business at **110 Eighth St., Troy, NY 12180** desires to acquire an interest therein in accordance with agreements duly entered into with me;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, our entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said invention as described in said application, together with our entire right, title and interest in and to said application and such Letters Patent as may issue thereon; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by us had this assignment and sale not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. We hereby acknowledge that this assignment, being of our entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of the entire right, title and interest therein;

AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;

AND, we do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives.

IN TESTIMONY WHEREOF, we have hereunto set our hands and affixed our seals the date set forth below.

Inventor's Signature: _____

Jonathan S. Dordick

Jonathan S. Dordick

State/Commonwealth

of New York

County of Rensselaer

Then personally appeared before me the above-named **Jonathan S. Dordick** and acknowledged that he executed the foregoing instrument as his free act and deed this

13th day of March, 2003.

(SEAL)

ELEANOR F. MEYER
Notary Public, State of New York
Residing in Albany County
Commission Expires Mar. 30, 192003
4609048

Eleanor F. Meyer

Notary Public

Eleanor F. Meyer (print name)

My Commission expires 3 / 30 / 03

Inventor's Signature: _____

Lakshmi Santhanam

State/Commonwealth

of _____

County of _____

Then personally appeared before me the above-named **Lakshmi Santhanam** and
acknowledged that she executed the foregoing instrument as her free act and deed this
_____ day of _____, 20_____.

(SEAL)

Notary Public

(print name)

My Commission expires ____/____/____

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Multi-JointASSIGNMENT

WHEREAS, we, **Jonathan S. Dordick** and **Lakshmi Santhanam** together with co-inventors **Michael G. Hogg** and **James A. Holland**, have invented a certain improvement in **SOLID-PHASE ARRAY-BASED BIOCATALYTIC TRANSFORMATIONS** described in an application for Letters Patent of the United States, the specification of which:

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NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, our entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said invention as described in said application, together with our entire right, title and interest in and to said application and such Letters Patent as may issue thereon; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by us had this assignment and sale not been made; we hereby convey all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. We hereby acknowledge that this assignment, being of our entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of the entire right, title and interest therein;

AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;

AND, we do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives.

IN TESTIMONY WHEREOF, we have hereunto set our hands and affixed our seals the date set forth below.

Inventor's Signature: _____
Jonathan S. Dordick

State/Commonwealth _____
of _____
County of _____

Then personally appeared before me the above-named **Jonathan S. Dordick** and acknowledged that he executed the foregoing instrument as his free act and deed this _____ day of _____, 20____.

(SEAL) _____ Notary Public

(print name)
My Commission expires ____/____/____

Inventor's Signature: _____

S. Lakshmi

Lakshmi Santhanam

State/~~Commonwealth~~

of

New York

County of

Rensselaer

Then personally appeared before me the above-named **Lakshmi Santhanam** and acknowledged that she executed the foregoing instrument as her free act and deed this

7 day of April, 2003.

(SEAL)

Eleanor F. Meyer

Notary Public

Eleanor F. Meyer

(print name)

My Commission expires 03/30/07

ELEANOR F. MEYER
Notary Public, State of New York
Residing in Albany County
Commission Expires Mar. 30, 10
2007

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