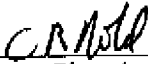


Form PTO-1595 (Rev. 10/02) OMB No. 0651-0027 (exp. 6/30/2005) Tab settings ⇌ ⇌ ⇌		RECORDATION FORM COVER SHEET PATENTS ONLY		U.S. DEPARTMENT OF COMMERCE U.S. Patent and Trademark Office	
To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.					
1. Name of conveying party(ies): <u>A. Paul Alivisatos</u> <u>Joerg Rockenberger</u> Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			2. Name and address of receiving party(ies) Name: <u>The Regents of the University of California</u> Internal Address: <u>12th Floor</u> Street Address: <u>1111 Franklin Street</u> City: <u>Oakland</u> State: <u>CA</u> Zip: <u>94607</u> Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____ Execution Date: <u>October 3, 2003</u>			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) <u>09/721,126</u> B. Patent No.(s) _____ Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
5. Name and address of party to whom correspondence concerning document should be mailed: Name: <u>Charles R. Nold</u> Internal Address: <u>Berkeley National Laboratory</u> Street Address: <u>One Cyclotron Road</u> <u>MS 90B0104</u> City: <u>Berkeley</u> State: <u>CA</u> Zip: <u>94720</u>			6. Total number of applications and patents involved: <u>1</u> 7. Total fee (37 CFR 3.41).....\$ <u>40.00</u> <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account 8. Deposit account number: <u>120690</u> (Attach duplicate copy of this page if paying by deposit account)		
DO NOT USE THIS SPACE					
9. Statement and signature. <i>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.</i> <div style="display: flex; justify-content: space-between;"> <div style="width: 30%;"> <u>Charles R. Nold</u> Name of Person Signing </div> <div style="width: 30%; text-align: center;">  Signature </div> <div style="width: 30%; text-align: right;"> <u>10/27/2003</u> Date </div> </div>					
Total number of pages including cover sheet, attachments, and documents: _____ Mail documents to be recorded with required cover sheet information to: <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> Filed together with a new patent application to: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 </div> <div style="width: 45%; text-align: right;"> Not filed with new patent application to: Mail Stop Assignment Recordation Services Director of the U.S. Patent and Trademark Office P.O. Box 1450 Alexandria, VA 22313-1450 </div> </div>					

CH \$40.00 120690 09721126

700049850

 Filed together with a new patent application to:
 Mail Stop Patent Application
 Commissioner for Patents
 P.O. Box 1450
 Alexandria, VA 22313-1450

 Not filed with new patent application to:
 Mail Stop Assignment Recordation Services
 Director of the U.S. Patent and Trademark Office
 P.O. Box 1450
 Alexandria, VA 22313-1450

PATENT

REEL: 014077 FRAME: 0647

3'2003 14:02 4097393361

Kovio

#4828 P.004/004

ASSIGNMENT

LENL Case No. IB-1576A

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

1. A. Paul Alivisatos 2. Joerg Rockenberger

hereby sells, assign(s) and transfer(s) to ASSIGNEE, The Regents of The University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12TH 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 entitled:

TITLE: Process for making surfactant capped metal oxide nanocrystals, and products produced by the process

and which is found in U.S. application serial no. 09/721,126, filed Nov. 22, 2000 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 necessary or desirable to carry out the purposes thereof. Any 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:

Signature of Inventor(s)

____ day of _____, 2001

3 day of October, 2003

A. Paul Alivisatos

Joerg Rockenberger

ASSIGNMENTLBNL Case No. **IB-1576A**

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

1. **A. Paul Alivisatos** 2. **Joerg Rockenberger**

hereby sells, assign(s) and transfer(s) to ASSIGNEE, The Regents of The University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12TH 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 entitled:

TITLE: Process for making surfactant capped metal oxide nanocrystals, and products produced by the process

and which is found in U.S. application serial no. **09/721,126**, filed Nov. 22, 2000 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 necessary or desirable to carry out the purposes thereof. Any 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:

Signature of Inventor(s)

19th day of August, 2003


A. Paul Alivisatos

____ day of _____, 2001

Joerg Rockenberger