

8/14/03  
Atty Docket No.: 3279-0008-0X

FORM PTO-1595  
1-31-92



08-22-2003



102532615

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1. Name of conveying party(ies):

1. Peter Neuenschwander
2. Ulrich W. Suter
3. Georg K. Uhlschmid

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

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: 1. August 7, 2002  
2. August 12, 2002  
3. August 20, 2002

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

1. University of Zurich  
Name: 2. Swiss Federal Institut of Technology Zurich

Address: 1. Rämistrasse 71  
CH-8006 Zurich, Switzerland

2. Rämistrasse 101  
CH-8092 Zurich, Switzerland

Additional name(s) and 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)

B. Patent No.(s)

5,665,831

Additional numbers attached? ☐ Yes ☒ No

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



22850

Tel. (703) 413-3000  
Fax. (703) 413-2220

6. Total applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$40.00

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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.*

Marvin J. Spivak

Name of Person Signing

*C. Irvin McClelland*

Signature

8-18-03

Date

Registration Number: 24,913

**C. Irvin McClelland**  
**Registration Number 21,124**

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**PATENT**  
**REEL: 014394 FRAME: 0893**

03-07-2003



102383777

To the Honorable Commissioner of Patents and Trademarks. Please recd

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## 1. Name of conveying party(ies):

1. Peter Neuenschwander
2. Ulrich W. Suter
3. Georg K. Uhlschmid



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

- Name:
1. University of Zurich
  2. Swiss Federal Institut of Technology Zurich

Address:

1. Rämistrasse 71,  
CH-8006 Zurich, Switzerland

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CH-8092 Zurich, Switzerland

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ NoAdditional name(s) and address(es) attached? ☐ Yes ☒ No

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Marvin J. Spivak

Name of Person Signing

Signature

Date

Registration Number: 24,913

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28. FEB. 2003 13:10

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NR. 034 S. 2

ASSIGNMENT

WHEREAS, Peter Neuenschwander of Hägelerstrasse 4, CH-5400 Baden, Switzerland; Ulrich W. Suter of Lavendelweg 8, CH-8050 Zurich, Switzerland and Georg K. Uhlschmid, of ~~Gladbachstrasse 104~~ <sup>Hinterbergstr. 69 III. 1</sup>, CH-8044 Zurich, Switzerland, (hereinafter referred to as "ASSIGNORS") are the exclusive joint owners, by assignment, of the Letters Patent of the United States of America No. 5,665,831, issued on September 9, 1997; and

WHEREAS, the University of Zurich, of Rämistrasse 71, CH-8006 Zurich, Switzerland and the Swiss Federal Institut of Technology Zurich of Rämistrasse 101, CH-8092 Zurich, Switzerland, (hereinafter referred to collectively as "ASSIGNEES"), are desirous of acquiring the entire right, title and interest in and to said Letters Patent;

NOW, THEREFORE, in consideration of the sum of FIVE DOLLARS (\$5.00) and other valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS by these presents do sell, assign, and transfer unto ASSIGNEES the entire right, title and interest for the territory of the United States of America, in and to the aforesaid Letters Patent and the invention described therein, and any reissue or reissues of said Letters Patent to the full end of the term for which said Letters Patent have been granted or reissues may be granted, said invention and Letters Patent to be held and enjoyed by the ASSIGNEES, and for the use and behoof of said ASSIGNEES, and for the use and behoof of their successors, assigns or other legal representatives, and for claims for damage by reasons of infringement past and

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present, as fully and entirely as the same would have been held by us had this

Assignment and sale not been made.

Date: July, 2. August 02 By: Peter Neuenschwander  
Peter Neuenschwander

Date: 12. August 2002 By: Ulrich W. Suter  
Ulrich W. Suter

Date: 20.8.02 By: Georg K. Wilschmid  
Georg K. Wilschmid

8/18/03



Docket No. 3279-0008-0X

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attn: ASSIGNMENT DIVISION  
North Tower Building  
Suite 10C35

IN RE PATENT OF: Peter NEUENSCHWANDER et al

PATENT NO. 5,665,831

Bar Code Number: 102383777

Filed: March 3, 2003

RESPONSE TO NOTICE OF NON-RECORDATION OF DOCUMENT

Director of the United States Patent and Trademark Office  
Mail Stop Assignment Recordation Services  
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SIR:

Responsive to the Notice of Non-Recordation mailed July 18, 2003, Applicants submit herewith a new Recordation Cover Sheet correcting the execution dates, along with the originally filed Assignment, Recordation Cover Sheet. Also attached is a copy of the Notice of Non-Recordation.

In light of the fact the assignment is being re-submitted within the 30-day period, it is understood the original filing date of March 3, 2003 will be maintained.

Please direct any questions concerning the above matter to the undersigned.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

Customer ID Number: 22850

Karen L. Hudson  
(703) 412-6236

Fax: (703) 413-2220

**PATENT**  
**REEL: 014394 FRAME: 0897**



UNITED STATES  
PATENT AND  
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3279-008-0X

JULY 18, 2003

PTAS

Under Secretary of Commerce For Intellectual Property and  
Director of the United States Patent and Trademark Office  
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OBLON, SPIVAK, MCCLELLAND, MAIER & NEUST  
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\*102383777A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF NON-RECORDATION OF DOCUMENT

DOCUMENT ID NO.: 102383777

THE ENCLOSED DOCUMENT HAS BEEN EXAMINED AND FOUND NON-RECORDABLE BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. THE REASON(S) FOR NON-RECORDATION ARE STATED BELOW. DOCUMENTS BEING RESUBMITTED FOR RECORDATION MUST BE ACCOMPANIED BY A NEW COVER SHEET REFLECTING THE CORRECT INFORMATION TO BE RECORDED AND THE DOCUMENT ID NUMBER REFERENCED ABOVE.

THE ORIGINAL DATE OF FILING OF THIS ASSIGNMENT DOCUMENT WILL BE MAINTAINED IF RESUBMITTED WITH THE APPROPRIATE CORRECTION(S) WITHIN 30 DAYS FROM THE DATE OF THIS NOTICE AS OUTLINED UNDER 37 CFR 3.51. THE RESUBMITTED DOCUMENT MUST INCLUDE A STAMP WITH THE OFFICIAL DATE OF RECEIPT UNDER 37 CFR 3. APPLICANTS MAY USE THE CERTIFIED PROCEDURES UNDER 37 CFR 1.8 OR 1.10 FOR RESUBMISSION OF THE RETURNED PAPERS, IF THEY DESIRE TO HAVE THE BENEFIT OF THE DATE OF DEPOSIT IN THE UNITED STATES POSTAL SERVICE.

SEND DOCUMENTS TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231. IF YOU HAVE ANY QUESTIONS REGARDING THIS NOTICE, YOU MAY CONTACT THE INDIVIDUAL WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.

1. THE DOCUMENT SUBMITTED FOR RECORDING IS NOT ACCEPTABLE. THE EXECUTION DATE OF THE ASSIGNMENT DOCUMENT IS AFTER THE PATENT AND TRADEMARK OFFICE MAIL ROOM DATE.

TARA WASHINGTON, EXAMINER  
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RECEIVED: 7-23-03  
OBLON, SPIVAK, MCCLELLAND  
MAIER & NEUSTADT, P.C.

DOCKETING DEPT.

Initials/Date Docketed: CEX 7-24-03  
Type of Resp(s): Resub. Assign.  
Due Date(s): 8-17-03

RECORDED: 08/18/2003

PATENT  
REEL: 014394 FRAME: 0898