

10-22-2003

FORM PTO-1595

RECC



Docket No. [02-338-C]

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

102581227

To The Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Chad A. Mirkin  
Yunwei Cao  
Rongchao JinAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: Northwestern University

Address: 633 Clark Street

Evanston, IL 60208

Name:

Address:

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other \_\_\_\_\_

Execution Date: August 13, 2002 and August 14, 2002

Additional name(s) & 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)

Filing Date

10/431,341

May 7, 2003

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Emily Miao

Registration No.: 35,285

Company Name: McDonnell, Boehnen, Hulbert &amp; Berghoff

Street Address: 300 South Wacker Drive - 32<sup>nd</sup> Floor

City: Chicago

State: Illinois

Country: U.S.A.

ZIP: 60606

6. Total number of applications and patents involved:

7. Total Fee (37 CFR 3.41).....\$40.00

☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

13-2490

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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.*

Emily Miao

Printed Name of Person Signing

Signature

Date: 10/17/03

Total number of pages including cover sheet, attachments, and document:

Mail documents to be recorded with required cover sheet information to:

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Director of the United States Patent and Trademark Office

P.O. Box 1450

Alexandria, VA 22313-1450

10/21/2003 LNUELLER 00000314 10431341

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40.00 DP

PATENT

REEL: 014600 FRAME: 0077

**ASSIGNMENT**

Case No.: 02-338-C  
Inventors: Chad A. Mirkin, Yunwei Cao, Rongchao Jin  
Date of Execution  
of Application:

Serial No.: 10/431,341  
  
Filing Date: May 7, 2003

In consideration of One Dollar (\$1.00) and other good and valuable considerations in hand paid, the receipt and sufficiency whereof are hereby acknowledged, the undersigned hereby assign to:

**Northwestern University  
633 Clark Street  
Evanston, Illinois 60208  
a corporation of the State of Illinois**

its successors and assigns, the entire right, title and interest in the invention or improvements of the undersigned disclosed in an application for Letters Patent of the United States, entitled:

**Nanoparticle Probes with Raman Spectroscopic Fingerprints for Analyte Detection**

and identified as:

**Case No. 02-338-C**

in the offices of McDONNELL BOEHNNEN HULBERT & BERGHOFF and in said application and any and all other applications, both United States and foreign, which the undersigned may file, either solely or jointly with others, on said invention or improvements, and in any and all Letters Patent of the United States and foreign countries, which may be obtained on any of said applications, and in any reissue or extension of such patents, and further assigns to said assignee the priority right provided by the International Convention.

The undersigned hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to said assignee.

The undersigned hereby authorize and request the attorneys of record in said application to insert in this assignment the filing date and serial number of said application when officially known, and the date of execution of the application.

The undersigned warrant themselves to be the owners of the entire right, title and interest in said invention or improvements and to have the right to make this assignment, and further warrant that there are no outstanding prior assignments, licenses, or other encumbrances on the interest herein assigned.

For said considerations the undersigned hereby agree, upon the request and at the expense of said assignee, its successors and assigns, to execute any and all divisional, continuation and substitute applications for said invention or improvements, and any necessary oath, affidavit or declaration relating thereto, and any application for the reissue or extension of any Letters Patent that may be granted upon said application and any and all applications and other documents for Letters Patent in foreign countries on said invention or improvements, that said assignee, its successors or assigns may deem necessary or expedient, and for the said considerations the undersigned authorize said assignee to apply for patents for said invention or improvements in its own name in such countries where such procedure is proper and further agree, upon the request of said assignee, its successors and assigns, to cooperate to the best of the ability of the undersigned with said assignee, its successors and assigns, in any proceedings or transactions involving such applications or patents, including the preparation and execution of preliminary statements, giving and producing evidence, and performing any and all other acts necessary to obtain, maintain and enforce said Letters Patent, both United States and foreign, and vest all rights therein hereby conveyed in the assignee, its successors and assigns, whereby said Letters Patent will be held and enjoyed by the said assignee, its successors and assigns, to the full end of the term for which said Letters Patent will be granted, as fully and entirely as the same would have been held and enjoyed by the undersigned if this assignment had not been made.

WITNESS my hand and seal this 17 day of August, 2003.



Chad A. Mirkin

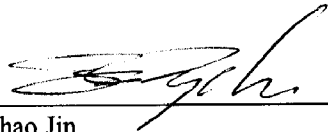
State of ILLINOIS

County of COOK

The foregoing instrument was acknowledged before me this 17th day of August, 2003 by Chad A. Mirkin.

  
NOTARY PUBLIC

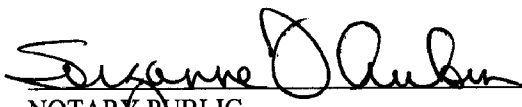
WITNESS my hand and seal this 15 day of August 2003.

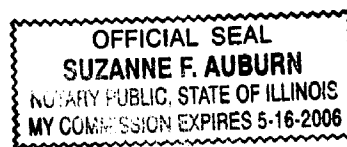
  
\_\_\_\_\_  
Rongchao Jin

State of Illinois

County of Cook

The foregoing instrument was acknowledged before me this 15 day of  
August, 2003 by Rongchao Jin.

  
\_\_\_\_\_  
NOTARY PUBLIC



WITNESS my hand and seal this 18 day of Aug, 2003.

State of Florida  
County of Alachua

Yunwei Cao  
Yunwei Cao

Florida Driver License Suspended

The foregoing instrument was acknowledged before me this 18<sup>th</sup> day of  
August, 2003 by Yunwei Cao.

Jackie Klein  
NOTARY PUBLIC

JACKIE KLEIN  
Notary Public, State of Florida  
My comm. exp. Sept. 19, 2006  
Comm. No. DD 146638