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10-23-2003



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RE

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

1. Name of conveying party(ies):

Richard E. Smalley; Robert H. Hauge; W. Carter Kittrell; Ramesh Sivarajan; Michael S. Strano; Sergei M. Bachilo; and R. Bruce Weisman

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

3. Nature of conveyance:

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

Execution Date: 10/09/2003; 10/09/2003; 06/13/2003;
10/09/2003; 10/09/2003; 10/09/2003;
and 05/08/2003

2. Name and address of receiving party(ies)

Name: William Marsh Rice University

Internal Address: 6100 Main Street

Street Address: 6100 Main Street

City: Houston State: TX Zip: 77843

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) _____
10/379,273

B. Patent No.(s) _____

Additional numbers attached? ☐ Yes ☒ No

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

Name: Ross Spencer Garsson

Internal Address: Winstead Sechrest & Minick P.C.

Street Address: P.O. Box 50784

1201 Main Street

City: Dallas State: TX Zip: 75250-0784

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 account

8. Deposit account number:

23-2426 (11321-P024US)

9. Signature.

Ross Spencer Garsson

Name of Person Signing

[Signature]
Signature

10/19/03
Date

Total number of pages including cover sheet, attachments, and documents: 16

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

Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

CLIENT/MATTER NO: 11321-P024US

DOCUMENT NO.:

PATENT
REEL: 014611 FRAME: 0308

10/22/2003 DBYRNE 00000075 10379273

01 FC:8021

40.00 OP

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Assignment of Invention

WHEREAS, I, Richard E. Smalley, 1816 Bolsover, Houston, TX 77005, USA; and I, Robert H. Hauge, 4031 Turnberry, Houston, TX 77005, USA; and I, W. Carter Kittrell, 2400 N. Braeswood, No. 315, Houston, TX 77030, USA; and I, Ramesh Sivarajan, 4045 Linkwood, No. 630, Houston, TX 77025-3438, USA; and I, Michael S. Strano, 1330 Old Spanish Trail, # 5305, Houston, TX 77054, USA; and I, Sergei M. Bachilo, 5500 N. Braeswood, No. 165, Houston, TX 77096, USA; and I, R. Bruce Weisman, 4132 Albans Drive, Houston, TX 77005, USA have invented certain new and useful improvements in: "**METHOD FOR SEPARATING SINGLE-WALL CARBON NANOTUBES AND COMPOSITIONS THEREOF**" for which an application for Letters Patent was filed on March 4, 2003 under Serial Number 10/379,273;

WHEREAS, **WILLIAM MARSH RICE UNIVERSITY**, a corporation organized under the laws of Texas, having a principal office and place of business at 6100 Main Street, Houston, Texas 77843, USA desires to acquire from Richard E. Smalley, Robert H. Hauge, W. Carter Kittrell, Ramesh Sivarajan, Michael S. Strano, Sergei M. Bachilo and R. Bruce Weisman the entire right, title and interest they have in and to said invention and in and to any Letters Patent that may be granted thereof in the United States and its territorial possessions, and any and all countries foreign to the United States of America;

NOW, THEREFORE, for valuable consideration, the receipt whereof is hereby acknowledged, I, by these presents do sell, assign and transfer unto said ASSIGNEE, all of my rights to the said invention in the United States and its territorial possessions and all countries foreign to the United States of America, and my entire right, title and interest in and to any and all Letters Patent which may be granted therefor in the United States and its territorial possessions and in and to any and all divisions, reissues, continuations, substitutions and renewals thereof, and to any and all Letters Patent which may be granted therefor in all countries foreign to the United States.

I hereby authorize and request the Patent Office Officials in the United States and its territorial possessions and Patent Office Officials in all countries foreign to the United States to issue any and all of said Letters Patent, when granted, to said ASSIGNEE as the assignee of my entire right, title and interest in and to the same, for the use and behalf of said ASSIGNEE, its successors and assigns, 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 me had this Assignment and sale not been made.

Further, I agree that I will communicate to said ASSIGNEE or its representatives any facts known to me respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuation, substitute, renewal and reissue applications, execute all necessary assignment papers to cause any and all of said Letters Patent to be issued to said ASSIGNEE, make all rightful oaths, and, generally do everything possible to aid said ASSIGNEE, its successors and assigns, to obtain and enforce proper protection for said invention in the United States and its territorial possessions, and in all countries foreign to the United States.

The undersigned hereby grants authorized representatives of the above identified ASSIGNEE the power to insert on this assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

EXECUTED AT: HOUSTON, TEXAS, USA
(City, State, Country)

Date: 10/9/03

Richard E. Smalley
Richard E. Smalley, Inventor

EXECUTED AT: Houston Tx, USA
(City, State, Country)

Date: Oct 9, 2003

Robert H. Hauge
Robert H. Hauge, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____

W. Carter Kittrell, Inventor

EXECUTED AT: Houston, Texas, USA
(City, State, Country)

Date: 9th Oct 2003
S. Ramesh
Ramesh Sivarajan, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Michael S. Strano, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Sergei M. Bachilo, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
R. Bruce Weisman, Inventor

HOUSTON_11633701\1
11321-P024WO 05/08/2003

Assignment of Invention

WHEREAS, I, Richard E. Smalley, 1816 Bolsover, Houston, TX 77005, USA; and I, Robert H. Hauge, 4031 Turnberry, Houston, TX 77005, USA; and I, W. Carter Kittrell, 2400 N. Braeswood, No. 315, Houston, TX 77030, USA; and I, Ramesh Sivarajan, 4045 Linkwood, No. 630, Houston, TX 77025-3438, USA; and I, Michael S. Strano, 1330 Old Spanish Trail, # 5305, Houston, TX 77054, USA; and I, Sergei M. Bachilo, 5500 N. Braeswood, No. 165, Houston, TX 77096, USA; and I, R. Bruce Weisman, 4132 Albans Drive, Houston, TX 77005, USA have invented certain new and useful improvements in: "**METHOD FOR SEPARATING SINGLE-WALL CARBON NANOTUBES AND COMPOSITIONS THEREOF**" for which an application for Letters Patent was filed on March 4, 2003 under Serial Number 10/379,273;

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EXECUTED AT: _____
(City, State, Country)

Date: _____
Richard E. Smalley, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Robert H. Hauge, Inventor

EXECUTED AT: Houston, Texas, USA
(City, State, Country)

Date: June 13, 2009
W. Carter Kittrell
W. Carter Kittrell, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Ramesh Sivarajan, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Michael S. Strano, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Sergei M. Bachilo, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
R. Bruce Weisman, Inventor

HOUSTON_11633701M
11321-P024WO 05/08/2003

Ref. No.: 11321-P024US

Assignment of Invention

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Ref. No.: 11321-P024US

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(City, State, Country)

Date: _____
W. Carter Kittrell, Inventor

Ref. No.: 11321-P024US

EXECUTED AT: _____
(City, State, Country)

Date: _____
Ramesh Sivarajan, Inventor

EXECUTED AT: Urbana, IL USA
(City, State, Country)

Date: 10/9/03
Michael S. Strano
Michael S. Strano, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Sergei M. Bachilo, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
R. Bruce Weisman, Inventor

HOUSTON 1163370111
11321-P024WO 05/08/2003

Assignment of Invention

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EXECUTED AT: _____
(City, State, Country)

Date: _____
Ramesh Sivarajan, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Michael S. Strano, Inventor

EXECUTED AT: Houston, TX, USA
(City, State, Country)

Date: Oct 9, 2003
SBachilo
Sergei M. Bachilo, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
R. Bruce Weisman, Inventor

HOUSTON_1\633701\1
11321-P024WO 05/08/2003

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Michael S. Strano, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Sergei M. Bachilo, Inventor

EXECUTED AT: Houston, Texas, USA
(City, State, Country)

Date: May 8, 2003
R. Bruce Weisman
R. Bruce Weisman, Inventor

HOUSTON_1\633701\1
11321-P024WO 05/08/2003