

05-26-2004

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OMB No. 0651-0027 (exp. 6/30/04)

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HEET

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):

Valery N. Khabashesku
2421-B Dolington St.
Houston, TX 77030

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

3. Nature of conveyance:

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

April 13, 2004

Execution Date: _____

2. Name and address of receiving party(ies)

Name: William Marsh Rice University

Internal Address: _____

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) 10/714,014

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 & Mlnick P.C.

Street Address: P.O. Box 50784

City: Dallas State: TX Zip: 75201-0784

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:

MAY 24 AM 7:54 OPR/FINANCE

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9. Signature.

Ross Spencer Garsson

Name of Person Signing

Signature

May 21, 2004

Date

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

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-P056US

DOCUMENT NO.:

05/25/2004 EDUPER 0000039 10714014

40.00 DP

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PATENT REEL: 015362 FRAME: 0437

ATTACHMENT TO RECORDATION COVER SHEET

1. Names of conveying parties (cont'd):

John L. Margrave, Deceased,
through his legal representative, Mary Lou Margrave
4511 Verone
Bellaire, TX 77401 USA

Execution Date: April 26, 2004

Wilbur Edward Billups
6416 Rutgers
Houston, TX 77005 USA

Execution Date: May 17, 2004

Yunming Ying
1928 N. Braeswood, No. 6
Houston, TX 77030 USA

Execution Date: May 16, 2004

Haiqing Peng
5606 Bissonnet, No. 49
Houston, TX 77030 USA

Execution Date: April 13, 2004

HOUSTON_1\722948\1
11321-P056US 05/18/2004

Assignment of Invention

WHEREAS, I, John L. Margrave, 4511 Verone, Bellaire, TX 77041 USA; and I, Valery N. Khabashesku, 2421-B Dolington Street, Houston TX 77030, USA; and I, Wilbur Edward Billups, 6416 Rutgers, Houston, TX 77005, USA; and I, Yunming Ying, 1928 N. Braeswood, No. 6, Houston, TX 77030, USA; and I, Haiqing Peng, 5606 Bissonnet, No. 49, Houston, TX 77030, USA have invented certain new and useful improvements in: "**FUNCTIONALIZATION OF CARBON NANOTUBES**" for which an application for Letters Patent was filed on November 15, 2002 under Serial Number 60/426,784;

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 John L. Margrave, Valery N. Khabashesku, Wilbur Edward Billups, Yunming Ying and Haiqing Peng 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: _____
(City, State, Country)

Date: _____
John L. Margrave, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Valery N. Khabashesku, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Wilbur Edward Billups, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Yunming Ying, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Haiqing Peng, Inventor

HOUSTON_1\653997\1
11321-P056V1 05/18/2004

Assignment of Invention

WHEREAS, I, John L. Margrave, 4511 Verone, Bellaire, TX 77041 USA; and I, Valery N. Khabashesku, 2421-B Dolington Street, Houston TX 77030, USA; and I, Wilbur Edward Billups, 6416 Rutgers, Houston, TX 77005, USA; and I, Yunming Ying, 1928 N. Braeswood, No. 6, Houston, TX 77030, USA; and I, Haiqing Peng, 5606 Bissonnet, No. 49, Houston, TX 77030, USA have invented certain new and useful improvements in: "**FUNCTIONALIZATION OF CARBON NANOTUBES**" for which an application for Letters Patent was filed on November 15, 2002 under Serial Number 60/426,784;

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EXECUTED AT: _____
(City, State, Country)

Date: _____
John L. Margrave, Inventor

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

Date: 04/13/04
V. N. Khabashesku
Valery N. Khabashesku, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Wilbur Edward Billups, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Yunming Ying, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Haiqing Peng, Inventor

HOUSTON_116539971
11321-P056V1 06/11/2003

Assignment of Invention

WHEREAS, I, John L. Margrave, 4511 Verone, Bellaire, TX 77041 USA; and I, Valery N. Khabashesku, 2421-B Dolington Street, Houston TX 77030, USA; and I, Wilbur Edward Billups, 6416 Rutgers, Houston, TX 77005, USA; and I, Yunming Ying, 1928 N. Braeswood, No. 6, Houston, TX 77030, USA; and I, Haiqing Peng, 5606 Bissonnet, No. 49, Houston, TX 77030, USA have invented certain new and useful improvements in: "**FUNCTIONALIZATION OF CARBON NANOTUBES**" for which an application for Letters Patent was filed on November 15, 2002 under Serial Number 60/426,784;

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EXECUTED AT: _____
(City, State, Country)

Date: _____
John L. Margrave, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Valery N. Khabashesku, Inventor

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

Date: 05/17/04
Wilbur Edward Billups
Wilbur Edward Billups, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Yunming Ying, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Haiqing Ping, Inventor

HOUSTON 116539971
11321-P056V1 06/11/2003

Assignment of Invention

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(City, State, Country)

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EXECUTED AT: _____
(City, State, Country)

Date: _____
Valery N. Khabashesku, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Wilbur Edward Billups, Inventor

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

Date: 05/16/2004 
Yunming Ying, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Haiqing Ping, Inventor

HOUSTON_1165399711
11321-P056V1 06/11/2003

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EXECUTED AT: _____
(City, State, Country)

Date: _____
John L. Margrave, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Valery N. Khabashesku, Inventor

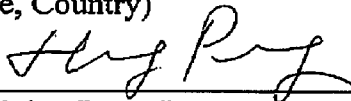
EXECUTED AT: _____
(City, State, Country)

Date: _____
Wilbur Edward Billups, Inventor

EXECUTED AT: _____
(City, State, Country)

Date: _____
Yunming Ying, Inventor

EXECUTED AT: Houston, TX U.S.A.
(City, State, Country)

Date: 04/13/04

Haiqing Peng, Inventor

HOUSTON_11653997.1
11321-P056V1 06/11/2003

**SUPPLEMENTAL DECLARATION UNDER 37 C.F.R. § 1.42
FOR SIGNING BY LEGAL REPRESENTATIVE ON
BEHALF OF DECEASED INVENTOR**

I, Mary Lou Margrave, hereby declare that I am a citizen of the United States, residing at 4511 Verone, Bellaire, Texas 77041. I further declare that I have reason to believe that I will be appointed legal representative of John L. Margrave, my husband, who passed away on December 18, 2003, as I am named as executrix in his will. Upon information and belief, I aver those facts that he is required to state in order to apply for a patent or allowance of any patent application in which he is listed as an inventor. Further, it is my understanding that all patents and patent applications in which John L. Margrave is listed as an inventor are to be assigned to Rice University, his employer since 1963, pursuant to the Rice University Policy.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: April 26, 2004

Mary Lou Margrave
Mary Lou Margrave
Legal Representative of John L. Margrave

AUSTIN_1\248137\1
11321-G99999