

06-16-2004



U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office
Docket No. 19226/2291 (R-5824, R-5875, R-5881)

To the Honorable

102767506

and the attached original documents or copy thereof.

1. Name of conveying party(ies):

Derrick W. Lucey
David J. MacRae
Paras N. Prasad
Orville T. Beachley, Jr.

C-1404

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

2. Name and address of receiving party(ies)

Name: The Research Foundation of State University of New York

Street Address: 1576 Sweet Home Road, Suite 111

City: Amherst State: NY Zip: 14228

Country: _____ Postal Code: _____

Additional name(s) & address(es) attached? Yes No

3. Nature of conveyance:

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

Execution Date(s):

- 1st Inventor: May 4, 2004
- 2nd Inventor: May 4, 2004
- 3rd Inventor: April 29, 2004
- 4th Inventor: May 4, 2004

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SPR/FINANCE

4. Application number(s) or patent number(s);

If this document is being filed together with a new application, the filing date of the application is: _____

A. Patent Application No.(s)

10/804,629

B. Patent No.(s)

Additional numbers attached? Yes No

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

Attorney Name: Michael L. Goldman

Firm Name: Nixon Peabody LLP

Internal Address: _____

Street Address: Clinton Square, P.O. Box 31051

City: Rochester State: NY Zip: 14603-1051

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:

14-1138

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

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.

Candice J. Clement

Name of Person Signing
Registration No. 39,946

Candice Clement
Signature

June 11, 2004
Date

Total number of pages including cover sheet, attachments, and documents: 9

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]

I hereby certify that this correspondence is being:

- deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop Assignment Recordation Services, Director of the United States Patent and Trademark Office, P. O. Box 1450, Alexandria, VA 22313-1450
- transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at (703) _____

June 11, 2004
Date

Ruth R. Smith
Signature

Ruth R. Smith

Typed or printed name

06/15/2004 LUPELLER 00000131 10804629

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Mail documents to be recorded with required cover sheet information to:
Mail Stop Assignment Recordation Services, Director of the United States Patent and Trademark Office,
P.O. Box 1450, Alexandria, VA 22313-1450

ASSIGNMENT

WHEREAS, We, **Derrick W. Lucey**, a citizen of the United States, residing at 4269 Harlem Road, Amherst, New York 14226; **David J. MacRae**, a citizen of the United States, residing at 6009 Georgetown Court, Pendleton, New York 14094, **Paras N. Prasad**, a citizen of the United States, residing at 51 Waterford Parkway, Williamsville, New York 14221, and, **Orville T. Beachley, Jr.**, a citizen of the United States, residing at 138 High Park Boulevard, Buffalo, New York 14226, have invented certain new and useful improvements in **METHOD FOR THE PREPARATION OF III-V SEMICONDUCTOR NANOCRYSTALS IN A NONCOORDINATING SOLVENT BY IN-SITU SURFACTANT GENERATION** for which we have executed an application for Letters Patent in the United States, filed as U. S. Serial No. **10/804,629** on **March 19, 2004**;

AND WHEREAS, **The Research Foundation of State University of New York**, with its principal place of business at 1576 Sweet Home Road, Suite 111, Amherst, New York 14228, desires to acquire the entire right, title and interest in and to the said improvements and the said Application:

NOW, THEREFORE, for good and valuable consideration, including salary or payment for the making of inventions, or employee benefits, the receipt of which is hereby acknowledged, we, the said inventors, do hereby acknowledge that we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said **The Research Foundation of State University of New York**, its successors, legal representatives and assigns, the entire right, title and interest throughout the world in, to and under the said improvements, and the said application and all divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said **The Research Foundation of State University of New York**, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we will communicate to the said **The Research Foundation of State University of New York**, its successors, legal representatives and assigns, any facts known to us respecting said improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said **The Research Foundation of State University of New York**, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 4 day of May, 2004.

Derrick W. Lucey
Derrick W. Lucey

STATE OF New York
COUNTY OF Erie SS:

This 4th day of May, 2004, before me personally came the above-named **Derrick W. Lucey**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

MICHELLE MURRAY
Notary Public, State of New York
No. 01MU6050450
Qualified in Erie County
Commission Expires Nov. 06, 2008

Michelle Murray
Notary Public
Commission expires on _____.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ____ day of _____, 2004.

David J. MacRae

STATE OF _____
COUNTY OF _____ SS:

This ____ day of _____, 2004, before me personally came the above-named **David J. MacRae**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

Notary Public
Commission expires on _____.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ____ day of _____, 2004.

Paras N. Prasad

STATE OF _____
COUNTY OF _____ SS:

This ____ day of _____, 2004, before me personally came the above-named **Paras N. Prasad**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

Notary Public
Commission expires on _____.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ____ day of _____, 2004.

Orville T. Beachley, Jr.

STATE OF _____
COUNTY OF _____ SS:

This ____ day of _____, 2004, before me personally came the above-named **Orville T. Beachley, Jr.**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

Notary Public
Commission expires on _____.

ASSIGNMENT

WHEREAS, We, **Derrick W. Lucey**, a citizen of the United States, residing at 4269 Harlem Road, Amherst, New York 14226; **David J. MacRae**, a citizen of the United States, residing at 6009 Georgetown Court, Pendleton, New York 14094, **Paras N. Prasad**, a citizen of the United States, residing at 51 Waterford Parkway, Williamsville, New York 14221, and, **Orville T. Beachley, Jr.**, a citizen of the United States, residing at 138 High Park Boulevard, Buffalo, New York 14226, have invented certain new and useful improvements in **METHOD FOR THE PREPARATION OF III-V SEMICONDUCTOR NANOCRYSTALS IN A NONCOORDINATING SOLVENT BY *IN-SITU* SURFACTANT GENERATION** for which we have executed an application for Letters Patent in the United States, filed as U. S. Serial No. **10/804,629** on **March 19, 2004**;

AND WHEREAS, **The Research Foundation of State University of New York**, with its principal place of business at 1576 Sweet Home Road, Suite 111, Amherst, New York 14228, desires to acquire the entire right, title and interest in and to the said improvements and the said Application:

NOW, THEREFORE, for good and valuable consideration, including salary or payment for the making of inventions, or employee benefits, the receipt of which is hereby acknowledged, we, the said inventors, do hereby acknowledge that we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said **The Research Foundation of State University of New York**, its successors, legal representatives and assigns, the entire right, title and interest throughout the world in, to and under the said improvements, and the said application and all divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said **The Research Foundation of State University of New York**, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we will communicate to the said **The Research Foundation of State University of New York**, its successors, legal representatives and assigns, any facts known to us respecting said improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said **The Research Foundation of State University of New York**, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ____ day of _____, 2004.

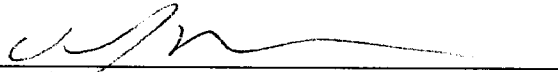
Derrick W. Lucey

STATE OF _____
COUNTY OF _____ SS:

This ____ day of _____, 2004, before me personally came the above-named **Derrick W. Lucey**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

Notary Public
Commission expires on _____.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 4 day of May, 2004.




David J. MacRae

STATE OF New York
COUNTY OF Erie SS:

This 4th day of May, 2004, before me personally came the above-named **David J. MacRae**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

MICHELLE MURRAY
Notary Public, State of New York
No. 01MU6050450
Qualified in Erie County
Commission Expires Nov. 06, 2006


Notary Public
Commission expires on _____.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this _____ day of _____, 2004.

Paras N. Prasad

STATE OF _____
COUNTY OF _____ SS:

This _____ day of _____, 2004, before me personally came the above-named **Paras N. Prasad**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

Notary Public
Commission expires on _____.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this _____ day of _____, 2004.

Orville T. Beachley, Jr.

STATE OF _____
COUNTY OF _____ SS:

This _____ day of _____, 2004, before me personally came the above-named **Orville T. Beachley, Jr.**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

Notary Public
Commission expires on _____.

ASSIGNMENT

WHEREAS, We, **Derrick W. Lucey**, a citizen of the United States, residing at 4269 Harlem Road, Amherst, New York 14226; **David J. MacRae**, a citizen of the United States, residing at 6009 Georgetown Court, Pendleton, New York 14094, **Paras N. Prasad**, a citizen of the United States, residing at 51 Waterford Parkway, Williamsville, New York 14221, and, **Orville T. Beachley, Jr.**, a citizen of the United States, residing at 138 High Park Boulevard, Buffalo, New York 14226, have invented certain new and useful improvements in **METHOD FOR THE PREPARATION OF III-V SEMICONDUCTOR NANOCRYSTALS IN A NONCOORDINATING SOLVENT BY IN-SITU SURFACTANT GENERATION** for which we have executed an application for Letters Patent in the United States, filed as U. S. Serial No. **10/804,629** on **March 19, 2004**;

AND WHEREAS, **The Research Foundation of State University of New York**, with its principal place of business at 1576 Sweet Home Road, Suite 111, Amherst, New York 14228, desires to acquire the entire right, title and interest in and to the said improvements and the said Application:

NOW, THEREFORE, for good and valuable consideration, including salary or payment for the making of inventions, or employee benefits, the receipt of which is hereby acknowledged, we, the said inventors, do hereby acknowledge that we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said **The Research Foundation of State University of New York**, its successors, legal representatives and assigns, the entire right, title and interest throughout the world in, to and under the said improvements, and the said application and all divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said **The Research Foundation of State University of New York**, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we will communicate to the said **The Research Foundation of State University of New York**, its successors, legal representatives and assigns, any facts known to us respecting said improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said **The Research Foundation of State University of New York**, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this _____ day of _____, 2004.

Derrick W. Lucey

STATE OF _____
COUNTY OF _____ SS:

This _____ day of _____, 2004, before me personally came the above-named **Derrick W. Lucey**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

Notary Public
Commission expires on _____.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this _____ day of _____, 2004.

David J. MacRae

STATE OF _____
COUNTY OF _____ SS:

This _____ day of _____, 2004, before me personally came the above-named **David J. MacRae**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

Notary Public
Commission expires on _____.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 29th day of APRIL, 2004.

Paras N. Prasad
Paras N. Prasad

STATE OF NEW YORK
COUNTY OF ERIE SS:

This 29th day of APRIL, 2004, before me personally came the above-named **Paras N. Prasad**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

TIMOTHY M. CRYAN
Notary Public, State of New York
Qualified in Erie County
My Commission Expires 7/20/05

Timothy M. Cryan
Notary Public
Commission expires on 7/20/05.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this _____ day of _____, 2004.

Orville T. Beachley, Jr.

STATE OF _____
COUNTY OF _____ SS:

This _____ day of _____, 2004, before me personally came the above-named **Orville T. Beachley, Jr.**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

Notary Public
Commission expires on _____.

ASSIGNMENT

WHEREAS, We, **Derrick W. Lucey**, a citizen of the United States, residing at 4269 Harlem Road, Amherst, New York 14226; **David J. MacRae**, a citizen of the United States, residing at 6009 Georgetown Court, Pendleton, New York 14094, **Paras N. Prasad**, a citizen of the United States, residing at 51 Waterford Parkway, Williamsville, New York 14221, and, **Orville T. Beachley, Jr.**, a citizen of the United States, residing at 138 High Park Boulevard, Buffalo, New York 14226, have invented certain new and useful improvements in **METHOD FOR THE PREPARATION OF III-V SEMICONDUCTOR NANOCRYSTALS IN A NONCOORDINATING SOLVENT BY IN-SITU SURFACTANT GENERATION** for which we have executed an application for Letters Patent in the United States, filed as U. S. Serial No. **10/804,629** on **March 19, 2004**;

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IN TESTIMONY WHEREOF, I hereunto set my hand and seal this _____ day of _____, 2004.

Derrick W. Lucey

STATE OF _____
COUNTY OF _____ SS:

This _____ day of _____, 2004, before me personally came the above-named **Derrick W. Lucey**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

Notary Public
Commission expires on _____.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this _____ day of _____, 2004.

David J. MacRae

STATE OF _____
COUNTY OF _____ SS:

This _____ day of _____, 2004, before me personally came the above-named **David J. MacRae**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

Notary Public
Commission expires on _____.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this _____ day of _____, 2004.

Paras N. Prasad

STATE OF _____
COUNTY OF _____ SS:

This _____ day of _____, 2004, before me personally came the above-named **Paras N. Prasad**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

Notary Public
Commission expires on _____.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 4th day of May, 2004.

Orville T. Beachley, Jr.
Orville T. Beachley, Jr.

STATE OF New York
COUNTY OF Erie SS:

This 4th day of May, 2004, before me personally came the above-named **Orville T. Beachley, Jr.**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

MICHELLE MURRAY
Notary Public, State of New York
No. 01MU6050450
Qualified in Erie County
Commission Expires Nov. 06, 2006

Michelle Murray
Notary Public
Commission expires on _____.