

11-24-2004

SHEET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

.Y

Tab settings → → → ▼

102888772

To the Director of the United States Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

1. Hazel H. Szeto
2. Kesheng Zhao
3. Hugh D. Robertson
4. Alex V. Birk

2004 NOV 22 AM 11:48

FINANCE SECTION

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

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

Execution Date: 1. 11/10/04 2,3,4. 11/11/04

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

Name: Cornell Research Foundation, Inc.

Internal Address: _____

Street Address: 418 E. 71st Street, Suite 61City: New York State: NY ZIP: 10021Additional name(s) & address(es) attached? ☐ Yes ☒ No

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

10/838,135

5/3/04

Additional numbers attached? ☐ Yes ☒ No

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

Name: Irving N. Feit, Esq.Internal Address: Hoffmann & Baron, LLP

11/23/2004 6TOM11 00000091 10838135

01 FC:8021

40.00 OP

Street Address: 6900 Jericho TurnpikeCity: Syosset State: NY ZIP: 11791

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☐ Authorized to be charged to deposit account

8. Deposit account number:

08-2461

(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.*Edna I. Gergel, Ph.D.11/17/2004

Name of Person Signing

Signature

Date

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

5

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

PATENT

REEL: 016006 FRAME: 0084

11-22-04

For: ☒ U.S. and/or ☒ Foreign Rights
For: ☒ U.S. Application;
☐ U.S. Provisional Application;
☐ U.S. Patent; or
☐ PCT Application
By: ☒ Inventors or ☐ Present Owners

ASSIGNMENT OF INVENTION

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNORS: (inventor(s) or person(s) or entity(ies) who own the invention)

Hazel H. Szeto

Name

Kesheng Zhao

Name

50 East 89th Street, Apt. 25A

Address

33-04 93rd Street, Apt. 4X

Address

New York, NY 10128Jackson Heights, NY 11372USA

Nationality

China

Nationality

Hugh D. Robertson

Name

Alex V. Birk

Name

430 East 63rd Street, Apt. #2J

Address

8305 98th Street, Apt. #5S

Address

New York, NY 10021Woodhaven, NY 11421USA

Nationality

USA

Nationality

(If assignment is by person or entity to whom invention was previously assigned and this was recorded in PTO add the following)

Recorded on _____

Reel _____

Frame _____

Assignment of Invention – Page 1 of 3

hereby sells, assigns and transfers to

ASSIGNEE:

Cornell Research Foundation, Inc.
(Type or print name of ASSIGNEE)

418 E. 71st Street, Suite 61
Address

New York, New York 10021

USA
Nationality

and the successors, assigns and legal representatives of the ASSIGNEE,

(complete one of the following)

- ☒ the entire right, title and interest
☐ an undivided _____ percent (_____%) interest

for the United States and its territorial possessions

☒ and in all foreign countries, including all rights to claim priority,

in and to any and all improvements which are disclosed in the invention entitled:
METHOD AND CARRIER COMPLEXES FOR DELIVERING MOLECULES TO CELLS

and which is found in

(check and complete (a), (b), (c), (d), (e), (f), or (g))

- (a) ☐ U.S. patent application executed on even date herewith
(b) ☐ U.S. patent application executed on _____
(c) ☐ U.S. provisional application naming the above inventor(s) for the above-identified invention.
☐ Express Mail label No.: _____, mailed: _____
☐ To comply with 37 CFR 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known
(d) ☒ U.S. application Serial No. 10/838,135 filed on May 3, 2004 and U.S. Provisional Application Serial No. 60/467,516 filed on May 1, 2003.
(e) ☐ International application No. PCT/_____/_____
(f) ☐ U.S. Patent No. _____ issued _____
☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

(g) ☐ and any legal equivalent thereof in a foreign country, including the right to claim priority

and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to Letters Patent any re-issue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, I/We have hereunto set hand and seal this

WARNING: Date of signing must be the same as the date of execution of the application if item (a) was checked above.

Date: X 11/10/04
Date of signing

X [Signature]
Hazel H. Szeto

Date: X 11/11/04
Date of signing

X [Signature]
Kesheng Zhao

Date: X 11/11/04
Date of signing

X [Signature]
Hugh D. Robertson

Date: X 11/11/04
Date of signing

X [Signature]
Alex V. Birk

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized then it will only be prima facie evidence of execution 35 USC 261. Use next page if notarization is desired.

☐ Notarization or Legalization Page Added.