

10/31/05

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10/506981  
31 OCT 2005  
U.S. DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office

HEET

Docket No.: A35138-PCT-USA (070050)

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

**1. Name of conveying party(ies)**  
 Siu-Wai Chan  
 Feng Zhang

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

**2. Name and address of receiving party(ies)**  
 Name: The Trustees of Columbia University In The City of New York  
 Internal Address: \_\_\_\_\_  
 Street Address: 116th Street and Broadway  
 City: New York  
 State: New York  
 Country: United States Zip: 10027

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

**3. Nature of conveyance/Execution Date(s):**  
 Execution Date(s) 09/28/2005 - 10/01/2005

Assignment  Merger  
 Security Agreement  Change of Name  
 Joint Research Agreement  
 Government Interest Assignment  
 Executive Order 9424, Confirmatory License  
 Other \_\_\_\_\_

**4. Application or patent number(s):**  This document is being filed together with a new application.

A. Patent Application No.(s)  
10/506,981

B. Patent No.(s)

Additional numbers attached?  Yes  No

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

Name: Baker Botts L.L.P.  
 Internal Address: \_\_\_\_\_  
 Street Address: 30 Rockefeller Plaza, 44th Floor  
 City: New York  
 State: New York Zip: 10112  
 Phone Number: \_\_\_\_\_  
 Fax Number: 212-408-2501  
 Email Address: \_\_\_\_\_

**6. Total number of applications and patents involved:** 1

**7. Total fee (37 CFR 1.21(h) & 3.41) \$40.00**

Authorized to be charged by credit card  
 Authorized to be charged to deposit account  
 Enclosed  
 None required (government interest not affecting title)

**8. Payment Information**

a. Credit Card Last 4 Numbers \_\_\_\_\_  
 Expiration Date \_\_\_\_\_

b. Deposit Account Number 02-4377  
 Authorized User Name Baker Botts L.L.P.

**9. Signature:** \_\_\_\_\_ 10/27/2005  
 Signature Date

Paul A. Ragusa  
 Name of Person Signing

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

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to: Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

ASSIGNMENT

WHEREAS, WE, SIU-WAI CHAN AND FENG ZHANG, citizens of the United States and China, whose post office addresses are 69 Ross Avenue, Demarest, New Jersey 07627 and 421 West 118th Street, Apt. 1A, New York, New York 10027, respectively, have made an invention entitled "METHOD FOR PREPARING NANOPARTICLES COMPRISING CERIUM OXIDE AND ZIRCONIUM," as set forth and described in United States Patent Application No. 10/506,981, filed September 7, 2004; and

WHEREAS, THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, having its principal place of business at 116th Street and Broadway, New York, New York 10027, is desirous of acquiring the entire right, title and interest in and to said invention and any improvements thereon, and in and to the said application for Letters Patent therefor, and any Letters Patent which may be obtained therefor;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, BE IT KNOWN, that WE, the said SIU-WAI CHAN AND FENG ZHANG, for and in consideration of the sum of One Dollar (\$1.00), lawful money of the United States, to us in hand paid by said THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, and other valuable considerations unto us moving from said THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK at or before the ensealing and delivery of these presents, the receipt of which is hereby acknowledged, have sold, assigned, transferred and conveyed and by these presents do sell, assign, transfer and convey, unto said THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, its successors and assigns, the entire right, title and interest in and to the said invention for which WE have made application for Letters Patent of the United States entitled "METHOD FOR PREPARING NANOPARTICLES COMPRISING CERIUM OXIDE AND ZIRCONIUM," and any and all improvements thereon, and in and to said application and any division, continuation or continuation-in-part thereof, and in and to any Letters Patent of the United States which may be issued on any of said applications, and any reissues thereof, and in and to any and all applications for Letters Patent filed in foreign countries for said invention or improvements including all priority rights, and any and all Letters Patent which may be granted in foreign countries therefor, TO HAVE AND TO HOLD THE SAME to the full end of the term or terms for which any and all said Letters Patent may be granted;

AND WE, the said SIU-WAI CHAN AND FENG ZHANG, do hereby authorize and request the Commissioner of Patents and Trademarks to issue the said Letters Patent of the United States to said THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, as the assignee of the entire right, title and interest in and to the same, for the sole use and benefit of said THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, its successors and assigns;

NY02:517702.1

AND WE, the said SIU-WAI CHAN AND FENG ZHANG, for the considerations aforesaid, hereby covenant and agree to and with said THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, its successors and assigns, that WE have the full power to make this assignment, and that the rights assigned are not encumbered by any grant, license or right heretofore given, and that WE, our executors or administrators, shall and will do all lawful acts and things and make, execute and deliver without further compensation, any and all other instruments in writing, further applications, papers, affidavits, powers of attorney, assignments, and other documents which, in the opinion of counsel for said THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, its successors and assigns, may be required or necessary more effectively to secure to and vest in said THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, its successors and assigns, the entire right, title and interest in and to said invention and improvements, applications, Letters Patent, rights, titles, benefits, privileges, and advantages hereby sold, assigned, transferred and conveyed, and that WE will sign any applications for reissue which may be desired by the owner of the patent or patents which may be issued for the said invention or improvements.

IN WITNESS WHEREOF, WE, the said SIU-WAI CHAN AND FENG ZHANG, have hereunto set our hand and seal.



SIU-WAI CHAN


STATE OF *New York*  
:ss:  
COUNTY OF *Westchester*

BE IT KNOWN, that on this *28<sup>th</sup>* day of *September*, 2005, before me personally came SIU-WAI CHAN, to me known and known to me to be the person mentioned in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed for the use and purposes therein mentioned.

  
Notary Public

LIZ I. VAZQUEZ  
Notary Public, State of New York  
No. 01VA6018377  
Qualified in Westchester County  
Commission Expires Jan. 11, 20*07*

5138-PCT-USA (070050.2634)  
PATENT

  
10/11/05

FENG ZHANG

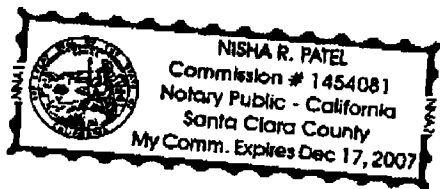
STATE OF *California*

:ss:

COUNTY OF *Santa Clara*

BE IT KNOWN, that on this 15<sup>th</sup> day of October 2005, before me personally came FENG ZHANG, to me known and known to me to be the person mentioned in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed for the use and purposes therein mentioned.

  
Notary Public



NY02:517702.1