

85847.00011

Form PTO-1595

(Rev. 03/01)

OMB No. 0651-0027 (exp. 6/30/2005)

## RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office

## PATENTS ONLY

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

## 1. Name of conveying party(ies):

1. Florian Niklas Ludwig
2. Stephen D. Pacetti
3. Syed F.A. Hossainy
4. Dariush Davalian

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

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

Name: Advanced Cardiovascular Systems, Inc.

Street Address: 3200 Lakeside Drive

City: Santa Clara

State: CA

Zip: 95054

Additional Name(s) & address(es) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger
- ☐ Security Agreement ☐ Change of Name
- ☐ Other \_\_\_\_\_

Execution Dates: 1) 3) &amp; 4) August 7, 2006; 2) July 28, 2006

## 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)

11/473,822

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Cameron K. Kerrigan, Reg. No. 44,826

Address: Squire, Sanders &amp; Dempsey L.L.P.

Street Address: One Maritime Plaza, Suite 300

City: San Francisco

State: CA

Zip: 94111

6. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41) .....\$ 40.00☐ Enclosed☒ Authorized to be charged to deposit account

## 8. Deposit account number:

07-1850

(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.

Zhaoyang Li, Ph.D.

Name of Person Signing

Signature

August 14, 2006

Date

Total number of pages including cover sheet, attachments, and documents: 4

## ASSIGNMENT

(1-8)	Insert Name(s) of Inventor(s)	(1)	Florian Niklas Ludwig	(4)	Dariush Davalian
		(2)	Stephen D. Pacetti		
		(3)	Syed F.A. Hossainy		

For good and valuable consideration, receipt of which is hereby acknowledged, the undersigned agree(s) to assign, hereby do(es) assign, transfer and set over to:

(9)	Insert Name of Assignee	(9)	Advanced Cardiovascular Systems, Inc.
(10)	Insert State of Incorporation of Assignee	(10)	California
(11)	Insert Address of Assignee	(11)	of: 3200 Lakeside Drive, Santa Clara, CA 95054 (hereinafter designated as the Assignee) the entire worldwide right, title, interest, and patent applications and patents for every country, including divisions, reissues, continuations and all other extensions, rights and priorities in the invention known as and related to

(12) Insert Identification of Invention, such as Title, Case Number or Foreign Application Number	(12) Nanoshells On Polymers  (Case No.85847.00011) (Serial No. 11/473,822) for which the undersigned has (have) executed an application for patent in the United States of America
---	--

(13) Insert Date of Signing of (13) 1), 3) & 4) August 7, 2006; 2) July 28. 2006 Application

- 1) The undersigned agree(s) to execute all papers necessary in connection with the application and any continuing or divisional applications thereof and also to execute separate assignments in connection with such applications as the Assignee may deem necessary or expedient.
- 2) The undersigned agree(s) to execute all papers necessary in connection with any interference which may be declared concerning this application or continuation or division thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going-forward with such interference.
- 3) The undersigned agree(s) to execute all papers and documents and perform any act which may be necessary in connection with claims or provisions of the International Convention for Protection of Industrial Property or similar agreements.

Attorney Docket: 85847.00011

- 4) The undersigned agree(s) to perform all affirmative acts which may be necessary to obtain a grant of a valid United States patent to the Assignee.
- 5) The undersigned hereby authorize(s) and request(s) the Commissioner of Patents and the duly constituted authorities of foreign countries to issue any and all Letters Patents resulting from said application or any division or divisions or continuing or reissue applications thereof to the said Assignee, its successors and assigns, as Assignee of the entire right, title and interest, and hereby covenants that he has (they have) full right to convey the entire interest herein assigned, and that he has (they have) not executed and will not execute any agreement in conflict herewith.
- 6) *The undersigned hereby grant(s) practitioners associated with Customer Number*

**45159**

*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.*

Date 8/7/2006

Name of Inventor

Florian Niklas Ludwig

Date \_\_\_\_\_

Name of Inventor

Stephen D. PacettiDate 8/7/06

Name of Inventor

Syed F.A. HossainyDate 8/7/06

Name of Inventor

Darlush Davalian

Attorney Docket: 85847.00011

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**45159**

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Date \_\_\_\_\_

Name of Inventor \_\_\_\_\_

Florian Niklas Ludwig

Date July 28, 2006

Name of Inventor \_\_\_\_\_

Stephen D. Pacetti  
Stephen D. Pacetti

Date \_\_\_\_\_

Name of Inventor \_\_\_\_\_

Syed F.A. Hossainy

Date \_\_\_\_\_

Name of Inventor \_\_\_\_\_

Dariush Davalian

PTO/SB/97 (05-03)

Approved for use through 04/30/2003. OMB 0651-0031


U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**Certificate of Transmission under 37 CFR 1.8**

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office

on August 14, 2006  
Date



Signature

**Zhaoyang Li, Ph.D.**

Typed or printed name of person signing Certificate

**Note:** Each paper must have its own certificate of transmission, or this certificate must identify each submitted paper.

Transmittal Form  
Fee Transmittal (in duplicate)  
Recordation Form Cover Sheet (in duplicate)  
Assignment

This collection of information is required by 37 CFR 1.8. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.8 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.*

**PATENT**  
**REEL: 018116 FRAME: 0179**

PTO/SB/21 (08-03)

Please type a plus sign (+) inside this box → ☒


Approved for use through 08/30/03. OMB 0651-0031

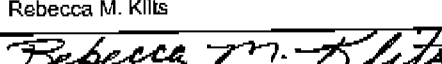
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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application Number	11/473,822
		Filing Date	June 23, 2006
		First Named Inventor	Florian Niklas Ludwig
		Group Art Unit	1754
		Examiner Name	Unassigned
Total Number of Pages in This Submission (excluding references)	9	Attorney Docket Number	85847.00011

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Deposit Account 07-1850 Authorization <input type="checkbox"/> Postage Paid Return Postcard <input type="checkbox"/> Response <input type="checkbox"/> Amendment Transmittal Letter (In duplicate) <input type="checkbox"/> Declaration <input type="checkbox"/> Petition for Extension of Time (___ month) (in duplicate) <input type="checkbox"/> Information Disclosure Statement (in duplicate) with Form PTO-1449 and ___ References <input type="checkbox"/> Express Mail Label No. <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (5 pages) (for an Application) <input type="checkbox"/> Drawing(s) In/Formal ___ Sheets with Submission of Drawings Transmittal <input type="checkbox"/> Issue Fee Transmittal with PTO-85b (In duplicate) <input type="checkbox"/> Request for Continued Examination Transmittal (RCE) <input checked="" type="checkbox"/> Fee Transmittal Form (1 page) (In duplicate) <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) ___	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Request for Status of Application <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <b>Certificate of Transmission under 37 CFR 1.8 (1 page)</b>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Squire, Sanders & Dempsey L.L.P. Zhaoyang Li, Reg. No. 46,872
Signature	
Date	August 14, 2006

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Rebecca M. Kilts		
Signature		Date	August 14, 2006

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# FEE TRANSMITTAL for FY 2006

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 40.00

## Complete if Known

Application Number 11/473,822  
Filing Date June 23, 2006  
First Named Inventor Florian Niklas Ludwig  
Examiner Name Unassigned  
Art Unit 1754  
Attorney Docket No. 85847.00011

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None  
Order

☒ Deposit Account:

Deposit  
Account  
Number 07-1850

Deposit  
Account  
Name Squire, Sanders & Dempsey L.L.P.

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
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☐ Charge fee(s) indicated below, except for the filing fee  
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## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	300	2001	150	Utility filing fee	
1002	200	2002	100	Design filing fee	
1003	200	2003	100	Plant filing fee	
1004	300	2004	150	Reissue filing fee	
1005	200	2005	100	Provisional filing fee	

SUBTOTAL (1)

(\$)

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	20 **	Extra Claims	0	Fee from below	50	Fee Paid	
Independent Claims	3 **				200		
Multiple Dependent						0	

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	50	2202	25	Claims in excess of 20	
1201	200	2201	100	Independent claims in excess of 3	
1203	350	2203	180	Multiple dependent claim, if not paid	
1204	200	2204	100	** Reissue independent claims over original patent	
1205	50	2205	25	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2)

(\$)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	430	2252	215	Extension for reply within second month	
1253	980	2253	490	Extension for reply within third month	
1254	1,530	2254	765	Extension for reply within fourth month	
1255	2,080	2255	1,040	Extension for reply within fifth month	
1401	340	2401	170	Notice of Appeal	
1402	340	2402	170	Filing a brief in support of an appeal	
1403	300	2403	150	Request for oral hearing	
1451	1,510	1451	1,510	Petition to Institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,370	2453	685	Petition to revive - unintentional	
1501	1,370	2501	685	Utility issue fee (or reissue)	
1502	430	2502	215	Design issue fee	
1503	550	2503	275	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40
1809	790	2809	395	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	790	2801	395	Request for Continued Examination (RCE)	
1311	200	2311	100	Utility Examination Fee	

Other fee (specify) Utility Search Fee

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type) Zhaoyang Li, Ph.D. Registration No. (Attorney/Agent) 45,872 Telephone (415) 954-0200  
Signature Date August 14, 2006

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**PATENT**  
**REEL: 018116 FRAME: 0181**

PTO/SB/17 (10-04v2)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2006

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 40.00

## Complete if Known

Application Number	11/473,822
Filing Date	June 23, 2006
First Named Inventor	Florian Niklas Ludwig
Examiner Name	Unassigned
Art Unit	1754
Attorney Docket No.	85847.00011

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None  
Order
☒ Deposit Account:Deposit  
Account  
Number

07-1850

Deposit  
Account  
Name

Squire, Sanders &amp; Dempsey L.L.P.

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) or any underpayment of fee(s)  
☐ Charge fee(s) indicated below, except for the filing fee  
 to the above-identified deposit account.

## FEE CALCULATION

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1005	200	2005	100	Provisional filing fee	

SUBTOTAL (1)

(\$)

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below	Fee Paid
Total Claims	<input type="text"/> -20 **	=	<input type="text"/>	X <input type="text"/> 50	= <input type="text"/>
Independent Claims	<input type="text"/> -3 **	=	<input type="text"/>	X <input type="text"/> 200	= <input type="text"/>
Multiple Dependent			X <input type="text"/>		= 0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	50	2202	25	Claims in excess of 20
1201	200	2201	100	Independent claims in excess of 3
1203	380	2203	180	Multiple dependent claim, if not paid
1204	200	2204	100	** Reissue independent claims over original patent
1205	50	2205	25	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
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1451	1,510	1451	1,510	Petition to Institute a public use proceeding	
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1453	1,370	2453	685	Petition to revive - unintentional	
1501	1,370	2501	685	Utility Issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	660	2503	330	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1808	180	1808	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40
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1311	200	2311	100	Utility Examination Fee	

Other fee (specify) Utility Search Fee


\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$) 40

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Zhaoyang Li, Ph.D.	Registration No. (Attorney/Agent)	46,872	Telephone	(415) 954-0200
Signature		Date	August 14, 2006		

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**PATENT**  
**REEL: 018116 FRAME: 0182**

**SQUIRE  
SANDERS**LEGAL  
COUNSEL  
WORLDWIDE**SQUIRE, SANDERS & DEMPSEY L.L.P.**One Maritime Plaza, Suite 300  
San Francisco, CA 94111-3492  
Office: +1.415.954.0200  
Fax: +1.415.393.9887Preferred Fax: \_\_\_\_\_  
If Problems: \_\_\_\_\_

August 14, 2006

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Number of Pages (including cover): 10

**TO:** Assignment Division**FAX NO.:** (571) 273-0140**COMPANY:** USPTO Office of Public Records**PHONE NO.:****FROM:** Zhaoyang Li, Ph.D.**DIRECT DIAL NO.:** +1.415.393.9885**E-MAIL:** zli@ssd.com**RE:** Assignment Recordation  
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Form PTO-1595

(Rev. 03/01)

OMB No. 0651-0027 (exp. 6/30/2005)

## RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office

## PATENTS ONLY

Tab settings ⇨ ⇨ ⇨ ▼ ▼ ▼ ▼ ▼ ▼ ▼

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## 1. Name of conveying party(ies):

1. Florian Niklas Ludwig
2. Stephen D. Pacetti
3. Syed F.A. Hossainy
4. Dariush Davalian

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

Name: Advanced Cardiovascular Systems, Inc.

Street Address: 3200 Lakeside Drive

City: Santa Clara

State: CA

Zip: 95054

Additional name of conveying party(ies) attached? ☐ Yes ☒ NoAdditional Name(s) & address(es) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger
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Execution Dates: 1) 3) &amp; 4) August 7, 2006; 2) July 28, 2006

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11/473,822

B. Patent No.(s)

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Name: Cameron K. Kerrigan, Reg. No. 44,826

Address: Squire, Sanders &amp; Dempsey L.L.P.

Street Address: One Maritime Plaza, Suite 300

City: San Francisco

State: CA

Zip: 94111

6. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41) . . . . . \$ 40.00☐ Enclosed☒ Authorized to be charged to deposit account

## 8. Deposit account number:

07-1850

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

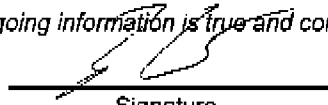
DO NOT USE THIS SPACE

## 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.*

Zhaoyang Li, Ph.D.

Name of Person Signing



Signature

August 14, 2006

Date

Total number of pages including cover sheet, attachments, and documents: 4