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(Rev. 03/01)  
OMB No. 0651-0027 (exp. 5/31/2002)



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

103499755

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

1. Name of conveying party(ies): Craig J. Hawker,  
Rosette G. Guino, Keiichi Seki, Kenichi Takizawa and  
Yutaka Mori

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

3. Nature of Conveyance:

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

Execution Date: 2/29, 3/4, 4/16 & 18, 2008

2. Name and address of receiving party(ies)

Name: The Regents of the University of California

Internal Address:

Street Address:

1111 Franklin St. 5<sup>th</sup> Floor

City: Oakland

State: CA Zip: 94607

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 new application is:

A. Patent Application No.(s):  
12/072,891

B. Patent No.(s):

Additional numbers attached? ☐ Yes ☒ No

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

Name: Robert Berliner  
BERLINER & ASSOCIATES

Internal Address: Atty. Dkt.:1279-479

Street Address:  
555 West 5<sup>th</sup> St. 31<sup>st</sup> Floor

City: Los Angeles State: CA Zip: 90013

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  
☐ Authorized to be charged to credit card  
(Form 2038 enclosed)

8. Deposit account number:

50-3881

(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.

Robert Berliner

Name of Person Signing

Signature

April 23, 2008

Date

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

04/23/2008 RFEKADU1 00000010 12072891

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40.00 DF

ASSIGNMENT

U.C. Case No. 2007-772; 2007-779 & 2008-198

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

Keiichi Seki, Kenichi Takizawa and Yutaka Mori hereby sells, assigns and transfers to ASSIGNEE, the Mitsubishi Chemical Corporation, a Japanese Corporation, having its principal place of business located at 14-1, Shiba 4-Chome, Minato-Ko, Tokyo 1080014 Japan, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled: "METHOD OF PRODUCING ENCAPSULATION RESINS."

U. S. Patent Application Serial No. \_\_\_\_\_, filed February \_\_\_\_, 2008

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, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) 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(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and document 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 relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or 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. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters patent of the United States and any reissue or extension thereof to the ASSIGNEE, Mitsubishi Chemical Corporation. executed this

Signature of Inventor(s)

4 day of March, 2008

Keiichi Seki  
Keiichi Seki

29 day of February, 2008

Kenichi Takizawa  
Kenichi Takizawa

29 day of February, 2008

Yutaka Mori  
Yutaka Mori

ASSIGNMENT

U.C. Case No. 2007-772; 2007-779 & 2008-198

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

Craig J. Hawker and Rosette G. Guino hereby sells, assigns and transfers to ASSIGNEE, the Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin St., Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled: "METHOD OF PRODUCING ENCAPSULATION RESINS."

U. S. Patent Application Serial No. 12/072,891, filed February 28, 2008

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, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) 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(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and document 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 relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or 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. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California. executed this

Signature of Inventor(s)

16 day of April, 2008

  
Craig J. Hawker

\_\_\_\_ day of \_\_\_\_\_, 2008

\_\_\_\_\_  
Rosette G. Guino

ASSIGNMENT

U.C. Case No. 2007-772; 2007-779 &amp; 2008-198

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

Craig J. Hawker and Rosette G. Guino hereby sells, assigns and transfers to ASSIGNEE, the Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin St., Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled: "METHOD OF PRODUCING ENCAPSULATION RESINS."

U. S. Patent Application Serial No. 12/072,891, filed February 28, 2008

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, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) 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(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and document 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 relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or 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. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California. executed this

Signature of Inventor(s)

\_\_\_\_ day of \_\_\_\_\_, 2008

\_\_\_\_\_  
Craig J. Hawker18<sup>th</sup> day of April, 2008\_\_\_\_\_  
Rosette G. Guino

1279-479