

PATENT ASSIGNMENT

Electronic Version v1.1
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SUBMISSION TYPE:	NEW ASSIGNMENT										
NATURE OF CONVEYANCE:	ASSIGNMENT										
CONVEYING PARTY DATA											
<table border="1"> <thead> <tr> <th>Name</th> <th>Execution Date</th> </tr> </thead> <tbody> <tr> <td>Yu-Chong Tai</td> <td>10/10/2006</td> </tr> <tr> <td>Siyang Zheng</td> <td>10/10/2006</td> </tr> </tbody> </table>		Name	Execution Date	Yu-Chong Tai	10/10/2006	Siyang Zheng	10/10/2006				
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Siyang Zheng	10/10/2006										
RECEIVING PARTY DATA											
<table border="1"> <tr> <td>Name:</td> <td>California Institute of Technology</td> </tr> <tr> <td>Street Address:</td> <td>1200 East California Blvd.</td> </tr> <tr> <td>City:</td> <td>Pasadena</td> </tr> <tr> <td>State/Country:</td> <td>CALIFORNIA</td> </tr> <tr> <td>Postal Code:</td> <td>91125</td> </tr> </table>		Name:	California Institute of Technology	Street Address:	1200 East California Blvd.	City:	Pasadena	State/Country:	CALIFORNIA	Postal Code:	91125
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PROPERTY NUMBERS Total: 1											
<table border="1"> <thead> <tr> <th>Property Type</th> <th>Number</th> </tr> </thead> <tbody> <tr> <td>Application Number:</td> <td>12943891</td> </tr> </tbody> </table>		Property Type	Number	Application Number:	12943891						
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Application Number:	12943891										
CORRESPONDENCE DATA											
<p>Fax Number: 4155760300</p> <p>Phone: 415-576-0200</p> <p>Email: lszymanski@kilpatricktownsend.com</p> <p><i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent via US Mail.</i></p> <p>Correspondent Name: Kilpatrick Townsend and Stockton</p> <p>Address Line 1: Two Embarcadero Center, 8th Floor</p> <p>Address Line 2: Alexander R. Trimble/Lukas K. Szymanski</p> <p>Address Line 4: San Francisco, CALIFORNIA 94111</p>											
ATTORNEY DOCKET NUMBER:	86544-794531 (008630US)										
NAME OF SUBMITTER:	Lukas K. Szymanski										
<p>Total Attachments: 7</p> <p>source=Assignment_Caltech#page1.tif</p>											

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Yu-Chong Tai et al.

Application No./Patent No.: 12/943,891

Filed/Issue Date: Nov 10, 2010

Entitled: USES OF PARYLENE MEMBRANE FILTERS

California Institute of Technology, a University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title, and interest
(The extent (by percentage) of its ownership interest is _____ %)
3. ☒ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made) in the patent application/patent identified above, by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 018447, Frame 0781, or for which a copy therefore is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

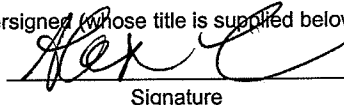
1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.


Signature

01/24/12

Date

Alexander R. Trimble

Printed or Typed Name

415-576-0200

Telephone Number

Attorney of Record, Reg. No.

52,301

Title

This collection of information is required by 37 CFR 3.73(b). 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 1.11 and 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.

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

PATENT
REEL: 028934 FRAME: 0831

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Yu-Chong Tai of 3191 E. California Blvd., Pasadena, CA 91106; and Siyang Zheng of 2945 Wilson Ave., #1, Pasadena, CA 91106, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: USES OF PARYLENE MEMBRANE FILTERS

Date(s) of execution of Declaration:

Filing Date: April 20, 2006

Application No.: 11/408,499; and

WHEREAS, California Institute of Technology, a corporation of the state of California, located at 1200 East California Blvd., Pasadena, CA 91125, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

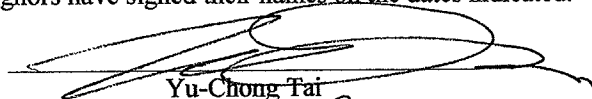
For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

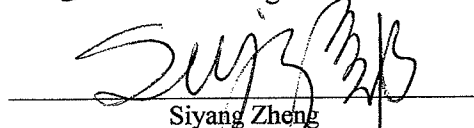
Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, Eighth Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 10-10-06


Yu-Chong Tai

Dated: 10/10/06


Siyang Zheng

60803384 v1

FJM, WC



020859-008620US

UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICETOWNSEND TOWNSEND
& CREW

OCTOBER 27, 2006

PTAS

NOV 08 2006
*500171035A*FRANK J. MYCROFT, ESQ.
TOWNSEND AND TOWNSEND AND CREW LLP
TWO EMBARCADERO CENTER, 8TH FLOOR
SAN FRANCISCO, CA 94111-3834

500171035A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, MAIL STOP: ASSIGNMENT SERVICES BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 10/27/2006

REEL/FRAME: 018447/0781
NUMBER OF PAGES: 2BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).
DOCKET NUMBER: 020859-008620USASSIGNOR:
TAI, YU-CHONG

DOC DATE: 10/10/2006

ASSIGNOR:
ZHENG, SIYANG

DOC DATE: 10/10/2006

ASSIGNEE:
CALIFORNIA INSTITUTE OF TECHNOLOGY
1200 EAST CALIFORNIA BLVD.
PASADENA, CALIFORNIA 91125SERIAL NUMBER: 11408499
PATENT NUMBER:
TITLE: USES OF PARYLENE MEMBRANE FILTERSFILING DATE: 04/20/2006
ISSUE DATE:

018447/0781 PAGE 2

ASSIGNMENT SERVICES BRANCH
PUBLIC RECORDS DIVISION

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Yu-Chong Tai of 3191 E. California Blvd., Pasadena, CA 91106; and Siyang Zheng of 2945 Wilson Ave., #1, Pasadena, CA 91106, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: MEMBRANE FILTER FOR CAPTURING CIRCULATING
 TUMOR CELLS

Date(s) of execution of Declaration: June, 20, 2006; June 21, 2006

Filing Date: April 20, 2006

Application No.: 11/408,501; and

WHEREAS, California Institute of Technology, a corporation of the state of California, located at 1200 East California Blvd., Pasadena, CA 91125, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

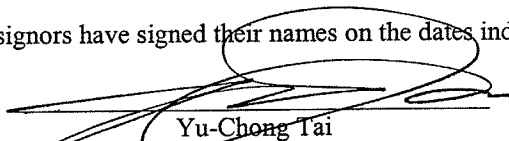
For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

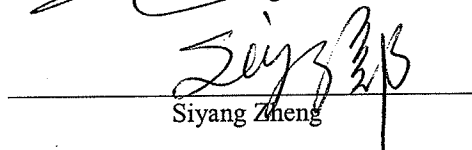
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IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 6-20-06


Yu-Chong Tai

Dated: 6/21/06


Siyang Zheng

60791920 v1

**UNITED STATES PATENT AND TRADEMARK OFFICE**

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JULY 18, 2006

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ZHE WU
2 EMBARCADERO CENTER
8TH FLOOR
SAN FRANCISCO, CA 94111

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RECORDATION DATE: 07/18/2006

REEL/FRAME: 017953/0471
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).
DOCKET NUMBER: 020859-008610US

ASSIGNOR:
TAI, YU-CHONG

DOC DATE: 06/20/2006

ASSIGNOR:
ZHENG, SIYANG

DOC DATE: 06/21/2006

ASSIGNEE:
CALIFORNIA INSTITUTE OF TECHNOLOGY
1200 EAST CALIFORNIA BOULEVARD
PASADENA, CALIFORNIA 91125

SERIAL NUMBER: 11408501

FILING DATE: 04/20/2006

PATENT NUMBER:

ISSUE DATE:

TITLE: MEMBRANE FILTER FOR CAPTURING CIRCULATING TUMOR CELLS

017953/0471 PAGE 2

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