## 502705718 03/04/2014

### PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1 Stylesheet Version v1.2

EPAS ID: PAT2752324

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT

### **CONVEYING PARTY DATA**

Name	Execution Date
DAVID G. WHITTEN	02/20/2014
DIMITRI DASCIER	02/14/2014
EUNKYUNG JI	02/14/2014

### **RECEIVING PARTY DATA**

Name:	THE REGENTS OF THE UNIVERSITY OF NEW MEXICO
Street Address:	1 UNIVERSITY OF NEW MEXICO MSC05 3440
City:	ALBUQUERQUE
State/Country:	NEW MEXICO
Postal Code:	87131

# PROPERTY NUMBERS Total: 1

Property Type	Number
Application Number:	14233130

## **CORRESPONDENCE DATA**

Fax Number: (505)272-7300
Email: Istanich@stc.unm.edu

Correspondence will be sent via US Mail when the email attempt is unsuccessful.

Correspondent Name: LINDSAY STANICH

Address Line 1: 801 UNIVERSITY BLVD. SUITE 101
Address Line 4: ALBUQUERQUE, NEW MEXICO 87106

NAME OF SUBMITTER:	LINDSAY STANICH	
Signature:	/Lindsay Stanich/	
Date:	03/04/2014	

Total Attachments: 6

source=2012-009-05 Assignment Inventors to UNM#page1.tif

source=2012-009-05 Assignment Inventors to UNM#page2.tif source=2012-009-05 Assignment Inventors to UNM#page3.tif source=2012-009-05 Assignment Inventors to UNM#page4.tif source=2012-009-05 Assignment Inventors to UNM#page5.tif source=2012-009-05 Assignment Inventors to UNM#page6.tif

#### INVENTOR ASSIGNMENT TO UNM

ASSIGNMENT from (inventor name): David G Whitten whose address is set forth on the signature page hereof (the "Inventor"), to the Regents of the University of New Mexico, an educational institution of the State of New Mexico, whose address is I University of New Mexico, MSC05-3440, Albuquerque, NM, 87131 (the "University").

WHEREAS, the Inventor, while employed by or enrolled at the University, conceived and/or reduced to practice one or more inventions which are described both in the disclosure described below and in other materials associated with the disclosure, including materials prepared after the date of this Assignment. The disclosure is identified as:

UNM Docket Ref.	Title							
No.								
2012-009	Efficacy of	"End-Only"	. 27	dized Oligo	(phenylene ethynyle	ene)s in Killing I	liofilm Bac	cteria
	~~~~~~					**********	······································	~~~~~

(both the disclosure and the associated materials are collectively referred to herein as the "Invention Disclosure");

WHEREAS, one or more patent application(s) either have been or may be filed in the future in the United States Patent and Trademark Office and other patent offices covering the invention or inventions described in the Invention Disclosure (collectively, the "Patent Application(s)"). Any such patent application(s) filed as of the date hereof are described below:

Patent App. Senal No.	Country	Date of Filing	Title
14/233,130	US	1/15/2014	Antimicrobial Materials and Methods

and

WHEREAS, the University is legally entitled to obtain a formal assignment from the Inventor of his/her entire right, title, and interest in and to invention(s) and related technology created by Inventor during his/her employment or enrollment by the University.

NOW, THEREFORE, the Inventor has individually and jointly agreed to assign and transfer and does hereby assign and transfer unto the University, its successors and assigns his/her entire right, title, and interest in and to: (a) the invention(s) described in the Invention Disclosure and/or Patent Application(s); (b) any technical information, know-how, trade secret, process, procedure, composition, biological materials, device, method, formula, protocol, technique, software, design, tradename, trademark, copyright, copyrightable material, drawing or data which is related to the aforesaid invention(s) and/or that is included in the Invention Disclosure, whether or not covered by the Patent Application(s); (c) all rights of the Inventor in the Patent Application(s) including but not limited to all divisions, Letters Patent, reissues, re-examinations, continuations, continuations-in-part, continuing patent applications, substitutions, renewals, extensions filed and all patent(s) issuing thereon in the United States and all foreign countries, including but not limited to the right to apply for Letters Patent, Utility Models, or Inventor Certificates or equivalents in foreign countries in the Inventor's own name and to claim any priority rights for such foreign applications to which such applications are entitled under such countries' domestic laws, international conventions. treaties, or otherwise; and (d) to the extent the University owns the same under its policies and practices, all improvements to the invention(s) described in the Invention Disclosure and/or Patent Application(s) hereafter made or invented by the Inventor (all of the foregoing, (a), (b), (c), and (d) being collectively referred to throughout this Assignment as the "Invention"); and (e) the right to assert claims and bring lawsuits for any violation or infringement of any of the intellectual property rights assigned hereby, including all patents issuing on the Patent Applications.

The Inventor has individually and jointly already agreed and does hereby warrant for himself/herself and heirs, executors, and administrators, to execute and deliver without further consideration any further applications, assignments, and documents, and to perform such other acts as lawfully may be deemed necessary by the University, its successors, assigns, and nominees, fully to secure its right, title, and interest as aforesaid and to obtain and maintain Letters Patent, Utility Models, or Inventors' Certificates in any and all counties; and the Inventor hereby authorizes and requests the Commissioner of Patents to issue any and all Letters Patent which may be granted upon any of said applications, to the University as the assignee of the entire right, title, and interest therein.

## THE INVENTOR FURTHER ACKNOWLEDGES AND AGREES AS FOLLOWS:

1. In accordance with the University's policies and practices, all net revenues from the Invention (all income received by the University, or its assignee, from commercialization of the Invention, not including payments for research, development or reimbursement of certain costs), shall be divided as follows: forty percent (40%) equally to the Inventors (unless the Inventors

have otherwise agreed in writing and so notified the University), forty percent (40%) to STC.UNM, and twenty percent (20%) to the University.

- For the purpose of enabling the University, its successors and assigns, without further consideration to obtain, defend and enforce all United States and foreign intellectual property rights in the Invention, the Inventor shall timely communicate all information, execute all documents, testify in all legal proceedings and take all such other actions necessary or desirable to accomplish such purpose.
- The Inventor authorizes the attorney of record for the Patent Application(s) without further consideration to insert in this Assignment where indicated above, or in an Addendum to be attached hereto, the filing date, country where filed, title and serial number of such Patent Application(s) filed hereafter as they become officially known.
- 4. The Inventor authorizes and requests without further consideration all domestic and foreign patent office officials to issue all patents, when granted, to the University, its successors and assigns.
- The Inventor warrants and represents without further consideration that no assignment, sale, agreement or encumbrance has been or will be made or entered into by him/her which would conflict with this assignment.
- 6. THE UNDERSIGNED INVENTOR ACKNOWLEDGES BY HIS/HER SIGNATURE HERETO THAT HE/SHE HAS

READ THE FOREGOING, UNDERSTAND ITS CONTENTS AND	HAS HAD THE OPPORTUNITY TO CONSULT
LEGAL COUNSEL OF HIS/HER CHOOSING CONCERNING	G HIS/HER RIGHTS AND OBLIGATIONS
HEREUNDER.	
Assignor (Townton) Signature: David G. White	2/20/20/4
Assignor (Inventor ) Signature: David G Whitten	Date
5435 In Colonia Drive NW 1331 Park And 4711	rope is your and a second of
Assignor (Inventor) Address:  5435 La Colonia Drive NW 1331 Park Ave #71) - Albuquerque 87130 5710	110 VA
United States	
STATE OF NEW MEXICO	
85.	
COUNTY OF BERNALILLO )	
	and prof.
The foregoing instrument was subscribed and acknowledged before me, this	20 day of Hustians, 2019
by the afore mentioned inventor.	
	1 1
	Ala D, Roxden
<u></u>	ZXXX WINOROLLA
	lotary Public
My Commission Expires:	

Seal:

#### INVENTOR ASSIGNMENT TO UNM

ASSIGNMENT from (inventor name): Dimini Dascier whose address is set forth on the signature page hereof (the "Inventor"), to the Repents of the University of New Mexico, an educational institution of the State of New Mexico, whose address is 1 University of New Mexico, MSC05-3440, Albuquerque, NM, 87131 (the "University").

WHIRIAS, the Inventor, while employed by or employed at the University, conceived and/or reduced to practice one or mum forestions which are described both in the disclosure described below and in other materials associated with the disclosure, including materials prepared after the date of this Assignment. The disclosure is identified as

UNM Docket No.	Title				epitelitelitelitelitelitelitelitelitelitel
2012-009	Efficacy of "E	ul-Only" Fancii	onalised Oligo(pl	ienglone othynyteuejs	n: Killing Biotilm Bacteria

(both the disclosure and the associated materials are relicatively referred to herein so the "Invention Disclosure");

WHEREAS, the Inventor executed applications for Letters Pairte of the United States of America based upon the discinsure above. Any such patent application(s) filed as of the date hereof are described below:

Paterit App. Berî	si No. Country	Date of Filing	The
14/233,130	(X)	1/15/2014	Antimicrobial Manegals and Methods
		*	

sod

WHEREAS, the University is legally qualited to obtain a formal assignment from the loventor of bis/hor entire sight, usis, and interest in and to invention(s) and related technology extrated by Inventor during his/hor employment or encollment by the University.

NOW, THEREPORE, the Inventor has individually and jointly agreed to assign and master and does hereby satiga and massfer cam, the University, in securescen and assigns his/her entire tight, title, and interest in and its. (a) the invention(s) described in the Invention Disclorure and/or Patent Application(s), (b) my technical information, knowhow, track secret, process, procedure, composition, biological materials, device, method, formula, protocol, technique, software, design, trade-name, trademark, copyright, copyrights bit material, drawing or data which is related to the aforesaid invention(s) and/or that is included in the Invention Disclosure, whether or not covered by the Patent Application(s); (c) sli rights of the Inventor in the Petent Application(s) including but not limited to all divisions, Leginis Parent, reissues, re-examinations, continuations, communicons-in-part, continuing parent applications, substitutions, repoyals, exercisous filed and all parent(s) issuing thereon in the United Scotes and all foreign countries, including his my limited to the right to apply the Letters Passa, Utility Models, or Inventor Certificates or equivalents in fareign countries in the University's niwn name and to claim any priority rights for such fureign applications to which such applications are emitted under such countries domestic laws, international conventions, aresise, or otherwise; and [6] to the extent the University owns the same under its pulicies and practices, all improvements to the invention(s) described in the Invention Discheure and/or Patent Application(s) hereafter made or hivened by the inventor (all of the hungoing, (a), (b), (c), and (d) being collectively schured to thoughout this Assignment at the "Invention"); and (e) the right to assert claims and bring lawsuits for any violation or infingement of any of the imellectual property rights assigned hereby, including all patents usuing on the Patent Applications.

The Inventor has individually and jointly stready agreed and does bettly warrant for humself/herself and beits, executors, and administratus, to execute and deliver without further consideration any further applications, sufgreeness, and documents, and to perform such other acts at lawfully may be deemed necessary by the University, its successors, assigns, and commones, fully to secure its right, title, sud interest as afterested and to obtain and maintain Lexters Patent. Utility Models, or Inventors' Certificates in any and all countries, and the Inventor healty authorizes and requests the Commissioner of Patents to issue any and all letters Patent which may be granted upon any of said applications, to the University as the assignee of the sutire right, title, and interest therein.

### THE INVENTOR FURTHER ACKNOWLEDGES AND AGREES AS FOLLOWS

- 1. In accordance with the University's policies and practices, all not revenues from the Invention (all income received by the University, or its assigner, from commercialization of the Invention, not including payments for research, development or reimbursement of certain costs), shall be divided as follows: forty percent (40%) equally to the inventors (onless the Inventors have otherwise agreed in writing and so notified the University), forty percent (40%) to STC UNM, and twenty percent (20%) to the University.
- 2. For the purpose of enabling the University, its successors and assigns, without further consideration to obtain, defend and enforce all United States and foreign intellectual property rights in the Invention, the inventor shall timely communicate all information, execute all documents, waify in all legal proceedings and take all such other actions necessary or desirable to accomplish such purpose.
- The Inventor authorizes the attendey of exceed for the Patern Application(s) without further consideration to insert in this Assignment where indicated above, or in an Addendum to be attached hereto, the filing date, country where filed, title and serial number of such Pames Application(s) filed beteather as they become officially known.
- The Inventor authorizes and requests without further consideration all despessiv and foreign patent office officials to issue all patents, when granted, to the University, its successors and assigna-
- The Inventor warrant and represents without further consideration that no assignment, sale, agreement or encumbrance has been in will be made or entered into by him/her which would conflict with this assignment.
- THE UNDERSIGNED INVENTOR ACKNOWLEDGES BY HIS/HER SIGNATURE HERETO THAT he/she has read the foregoing, understand its contents and has had the OPPORTUNITY TO CONSULT LEGAL COUNSEL OF HIS/HER CHOOSING CONCERNING HIS/HER RIGHTS AND OBLIGATIONS HEREUNDER.

Assignor (Inventor) Address:			
12 Rue Ledru Rollin 10130 Erry Le Chatel			
Prance			
Witness I	s subscribed and acknowledged before	emenis 14 david Lebraw	201
by the afore mentioned loven			7

DASSER MASIA Witness Typed/Printed Name Witness Signature

2. The largeging Assignment was subscribed and schnowledged before the 141 day of Abriding ... Witness 2: by the afore mentioned inventor.

DASIER RAY HOND Witness Typed/Printed Name Winners Signature

02/14/234

#### INVENTOR ASSIGNMENT TO UNM

ASSIGNMENT from (inventor name): Ennkyong Ji whose address is set fouth on the signature page hereof (the "Turentor"), to the Regions of the University of New Mexico, an educational institution of the State of New Mexico, whose address is I University of New Mexico, MSC05-3440, Alboquerque, NM, 87131 (the "University").

WHEREAS, the Inventor, while employed by at entailed at the University, conceived anti/or reduced to practice one or more inventions which are described both in the disclosure described below and in other materials associated with the disclosure, including materials prepared after the date of this Assignment. The disclosure is identified as:

UNM Dacket No. Title

2012-009

Efficacy of "End-Only" Functionalized Oligo(phenylene ethynylene's in Killing Biofilm Bacteria

(both the disclosure and the associated institutals are collectively referred to bersin as the "Invention Disclosure"),

WHEREAS, the Inventur executed applications for Letters Patent of the United States of America based upon the disclosure above. Any such patent application(s) filed as of the date between are described below.

		Date of Piling	
14/238/138	08	1/15/2014	Antimicrobial Materials and Methods

23375

WHEREAS, the University is legally confied to obtain a formal assignment from the Inventor of his/her entire tight, side, and jatesest in and to invention(s) and related technology created by inventor during his/her employment or encollment by the University.

NOW, THEREPORE, the Inventor has individually and jointly agraed to assign and transfer and does hereby assign and transfer tions the University, its successors and assigns his/her untits right; title, and interest in and to: (a) the invention(s) described in the Invention Disclosure and for Fatent Application(s), (b) any technical information, knowhow, unde secret, process, procedure, composition, biological meterials, device, method, formula, promeof, technique, software, design, trade-name, trademark, copyright, copyrightshir muterial, diswing on data which is related to the aforesaid invention(s) and/us that is included in the Invention Disclarate, whether or not covered by the Passas Application(s), (c) all rights of the Inventor in the Patent Application(s) including but not imited as all divisions, Letters Parmit telesure, re-examinations, communities, continuations in part, continuing patent applications, substitutions, renewals, exicusions filed and all parcet(s) isoling thereon in the United States and all formign countries, including bur not limited to the right to apply for Letters Patent, Utility Models, or Inventor Carolicans or equivalents in facility committee in the University's own name and to claim any priority rights for such foreign applications to which such applications are entitled under such countries' domestic laws, international conventions, treames, or otherwise; and (d) to the execut the University owns the same under its policies and practices, all improvements to the invention(s) described in the Tevention Disclosure and/or Patent Application(s) hereafter made or invented by the inventor (all of the foregoing, (a), (b), (c), and (d) being collectively referred to throughout this Assignment to the "layention"), and (c) the right to assem claims and bring lawswiss for any violation or infragement of any of the intellermal property rights sessioned hereby, including all patents isoning on the Patent Applications.

The Inventor has individually and jointly already agreed and does beceby wastern for himself/herself and heirs, executors, and administrative, to execute and deliver without further counderation any further applications, assignments, and documents, and to perform such other acts as lewfully may be deemed necessary by the University, its successors, assigns, and nominees, fully to secure its right, into, and interest as afractaid and to obtain and maintain Lessers Patent, Utility Models, or Inventor Certificates in any and all counties; and the inventor bereby authorizes and sequests the Commissioner of Patents to issue any and all Letters Patent which may be granted upon any of said applications, to the University as the assignee of the entire right, this, and interest therein.

THE INVENTOR FURTHER ACKNOWLEDGES AND AGREES AS FOLLOWS:

- 1. In accordance with the University's policies and practices, all set toyonnes from the Invention (all income received by the University, or its assigned, from commercialization of the Invention, not including payments for toxestch, development or mimbursement of centain costs), shall be divided as follows: forty percent (40%) equally to the Inventors (unless the Inventors have etherwise agreed in writing and so notified the University), forty percent (40%) to SYCLUDIM. and issenty percent (20%) to the University.
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- THE UNDERSIGNED INVENTOR ACKNOWLEDGES BY HIS/HER SIGNATURE HERETO THAT HE/SHE HAS READ THE FOREGOING, UNDERSTAND ITS CONTENTS AND HAS HAD THIS OPPORTUNITY TO CONSULT LIBGAL COUNSEL OF HIS/HER CHOOSING CONCERNING HIS/HER RIGHTS AND OBLIGATIONS HEREUNDER.

antifet Carrier	02/1	4/2014
Assignor (Inventor ) Signature: Hunkyung Ji	Date	
Assignor (Inventor) Address:		
12 Rec Ledru Rollin		
10130 Broy Le Chatel		
Pescare		

Witness 1: The fixegoing Assignment was subscribed and administrated before me, this 24 day of 45 122444  $\pm 2$ 2514by the afore mentioned inventor Winnesd Signature

The foregoing Assignment was subscribed and acknowledged before me, this 19 day of 10 series and 12 day of 10 series and 10 day of 10 day of 10 series and 10 day of 1 Witness 2:

DASCIER RAYMOND

Witness Typed/Punted Name Wirners Signature

> **PATENT** REEL: 032347 FRAME: 0902

RECORDED: 03/04/2014