

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

EPAS ID: PAT3754097

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND MEDICINE	04/30/2007
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	IMPERIAL INNOVATIONS LTD
<b>Street Address:</b>	LEVEL 12, ELECTRICAL ENGINEERING BUILDING
<b>Internal Address:</b>	IMPERIAL COLLEGE LONDON
<b>City:</b>	LONDON
<b>State/Country:</b>	ENGLAND
<b>Postal Code:</b>	SW7 2AZ
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
Patent Number:	6476312
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(571)432-0800
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
<b>Phone:</b>	5714320800
<b>Email:</b>	sstesney@harrityllp.com
<b>Correspondent Name:</b>	HARRITY & HARRITY, LLP
<b>Address Line 1:</b>	11350 RANDOM HILLS ROAD
<b>Address Line 4:</b>	FAIRFAX, VIRGINIA 22030
<b>NAME OF SUBMITTER:</b>	PAUL M. GURZO
<b>SIGNATURE:</b>	/Paul M. Gurzo, Reg. No. 67,478/
<b>DATE SIGNED:</b>	02/24/2016
<b>Total Attachments: 5</b>	
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**THIS DEED OF ASSIGNMENT** dated 30<sup>th</sup> APRIL 2007 is made by and between:

- (1) Imperial College of Science, Technology and Medicine, whose address is London, SW7 2AZ ("Imperial");
- (2) Professor Keith Barnham, whose address is 32 Kingston Hill Place, Kingston upon Thames, Surrey, KT2 7QY ("Professor Barnham"); and
- (3) Imperial Innovations Ltd, whose address is Level 12, Electrical Engineering Building, Imperial College London, London, SW7 2AZ ("Innovations").

**WHEREAS:**

- A. Professor Barnham has generated the Intellectual Property (as defined below).
- B. Professor Barnham generated the Intellectual Property in the course of his work as an employee of Imperial. Consequently the Intellectual Property belongs to Imperial.
- C. Imperial has agreed to assign all its right, title and interest in the Intellectual Property to Innovations.

**THIS DEED OF ASSIGNMENT WITNESSES as follows:**

1. Definitions

In this Assignment, the following words shall have the following meanings:

"Intellectual Property"      the Patents and the Technology.

"Patents"                      the patents and patent applications identified in the Schedule.

"Technology"                 any and all inventions, technology, materials and know-how which relate to the areas described in the Schedule and which have been developed by Professor Barnham, and all rights in such inventions, technology, materials and know-how.

References in this Assignment to Clauses, Schedules and Parties are to the clauses, schedules and parties of and to this Assignment.

2. Professor Barnham warrants to the other Parties that he is the sole generator of the Intellectual Property.
3. Professor Barnham agrees and acknowledges that the Intellectual Property was generated in the course of his normal duties as an employee of Imperial and the circumstances were such that an invention might reasonably have

been expected to result from the carrying out of his duties, and that consequently the Intellectual Property belongs to Imperial pursuant to section 39 of the Patents Act 1977. To the extent that Professor Barnham has any right, title or interest in the Intellectual Property he hereby assigns and transfers the same to Imperial absolutely and with full title guarantee in consideration of the sum of £1.00 (receipt of which is hereby acknowledged).

4. Imperial hereby assigns and transfers to Innovations absolutely and with full title guarantee all its right, title and interest in the Intellectual Property (including, for the avoidance of doubt, all such right, title and interest as Imperial has acquired pursuant to Clause 3) in consideration of the sum of £1.00 (receipt of which is hereby acknowledged).
5. The assignments effected by Clauses 3 and 4 shall include, without limitation, the assignment and transfer of:
  - a. all patents and other intellectual property that may be granted in respect of the Patents, as well as all patents and other intellectual property that may derive priority from or have equivalent claims to or be based upon the Intellectual Property in any country of the world (including supplementary protection certificates, divisions, continuations, continuations in part, reissues and extensions), and the Intellectual Property shall be deemed to include all such items of property;
  - b. all rights of action, powers and benefits arising from ownership of the Intellectual Property, including without limitation the right to sue for damages and other legal and equitable remedies in respect of all causes of action arising prior to, on or after the date of this Assignment; and
  - c. all rights of ownership of any materials that form part of the Intellectual Property.
6. Imperial and Professor Barnham shall execute such documents and give such assistance as Innovations may require:
  - a. to secure the vesting in Innovations of all rights in the Intellectual Property;
  - b. to uphold the rights of Innovations in the Intellectual Property; and
  - c. to defeat any challenge to the validity of, and resolve any questions concerning, the Intellectual Property.

The obligations on Imperial and Professor Barnham under this Clause 6 shall continue in force without limit of time.

7. Imperial and Professor Barnham hereby irrevocably appoint Innovations as their Attorney in their respective names to execute any document and do

any act or thing which may be necessary to comply with the provisions of Clause 6.

8. Imperial and Professor Barnham severally warrant, represent and undertake to Innovations:
  - a. that each of them is not, at the date of this Assignment, a party to any agreement or understanding (oral or written) which would in any manner be inconsistent with the assignment of rights provided for in this Assignment; and
  - b. that each of them shall not, on or after the date of this Assignment, enter into any agreement or understanding (oral or written) or directly or indirectly engage in any activity which would in any manner be inconsistent with the assignment of rights provided for in this Assignment.
9. This Agreement may be entered into in any number of counterparts and by the Parties on separate counterparts.
10. The validity, construction and performance of this Assignment shall be governed by English law, and the Parties submit to the exclusive jurisdiction of the English courts in respect of any dispute arising in connection therewith.

**EXECUTED AND DELIVERED AS A DEED by the Parties:**

Signed as a Deed by Professor Keith Barnham in the presence of a witness and delivered upon signature:

K.W.J. Barnham  
Professor Keith Barnham

[Signature]  
witness signature

DR. SKR. GINIGE  
witness name

50, Chalklands, Howe Green, Chelmsford,  
witness address Essex, CM2 7TH

The Common Seal of Imperial College of  
Science, Technology and Medicine was  
affixed hereto, in the presence of two  
authorised signatories )  
)  
)

Signed [Signature]

Signed [Signature]

Executed and delivered as a Deed by Imperial Innovations Ltd acting through two of its Directors:

[Signature]  
Director's signature

[Signature]  
Director's signature

## SCHEDULE

### The Patents

Country	Patent Application Number	Patent Number
International Patent Application	PCT/GB00/00884	
United States of America	09/936,209	6476312
European Patent Application	909472.3	
Japan	2002-604468	
Canada	2364452	2364452
Australia	31754/00	768245

### The Technology

In the quantum dot concentrator technology, semiconductor quantum dots allow incident light to be absorbed and emitted isotropically and totally internally reflected, allowing the beam to be waveguided through the material.