

PATENT ASSIGNMENT COVER SHEET

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 Stylesheet Version v1.2

EPAS ID: PAT4391005

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
IOWA STATE UNIVERSITY RESEARCH FOUNDATION, INC.	02/25/2013
RECEIVING PARTY DATA	
Name:	JING NI
Street Address:	4231 DIAVILA AVE
City:	PLEASANTON
State/Country:	CALIFORNIA
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PROPERTY NUMBERS Total: 2	
Property Type	Number
Patent Number:	7824926
Patent Number:	7829348
CORRESPONDENCE DATA	
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<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>	
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ATTORNEY DOCKET NUMBER:	4069-001.NP, .NP.CIP
NAME OF SUBMITTER:	ERIK S. ERICKSEN
SIGNATURE:	/ErikSEricksen/
DATE SIGNED:	04/28/2017
Total Attachments: 3	
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ASSIGNMENT

WHEREAS on or about August 24, 2001, ISURF received from Jing Ni assignment of the following disclosure: ISURF # 02723, entitled "Extrinsically-Labeled Raman-Active Nanoparticles as a Colloidal Reagent for Enhanced Biomedical and Other Analyses" (Disclosure), which resulted in U.S. Patent No. 7,824,926, entitled "Raman-Active Reagents and the Use Thereof" and also resulted in a Continuation in Part, U.S. Patent No. 7,829,348, of the same name (Patents), and which was also assigned to ISURF;

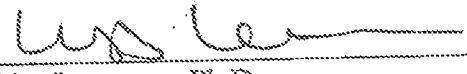
WHEREAS ISURF has determined that the technology described in the Disclosure and Patents is unlikely to be licensed commercially, and

WHEREAS Jing Ni has requested re-assignment of her interest in this Disclosure and Patents to her pursuant to Iowa State University Research Foundation, Inc. (ISURF)'s Policy for Re-Assignment of Intellectual Property to Inventors ("Reassignment Policy"), attached hereto as Exhibit "A,"

NOW THEREFORE, and in consideration of the above, (including but not limited to Jing Ni's agreement to comply with said Re-assignment Policy), effective on the date of the last signature below, ISURF hereby assigns back to her, any interest in the Disclosure and Patent by virtue of her said assignments to ISURF.

IOWA STATE UNIVERSITY RESEARCH FOUNDATION, INC.,

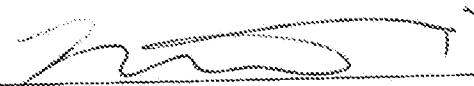
By:


Lisa Lorenzen, Ph.D.
Executive Director

Date: February 25, 2013

AGREED:

By:


Jing Ni, Ph.D.

Date: February 28, 2013

Approved by ISURF Board of Directors 10/23/2009

Iowa State University Research Foundation, Inc. (ISURF)
Policy for Re-Assignment of Intellectual Property to Inventors

If ISURF evaluates a purported invention or copyrightable work which, according to Iowa State University (University) policy, must be assigned to ISURF and ISURF determines that the invention or work is unlikely to be patentable or copyrightable and/or is not likely to be licensed commercially, and if it is assignable by ISURF, ISURF may upon request, and subject to the rights of any third parties, re-assign the invention or work to each of the inventors or authors (together referred to as inventors).

The following terms shall govern any re-assignment. ISURF is guided in the establishment of these terms by the University's intellectual property policies, U.S. Federal code and regulations (governing the management of intellectual property from federally funded research), and the Internal Revenue Code (governing the non-profit status of both the University and ISURF).

1. ISURF will only re-assign to each inventor individually that ownership interest that he or she has assigned to ISURF;
2. the inventors acknowledge that title assigned hereunder may be voidable if the technology was funded by the federal government and the government chooses to take action to obtain title or otherwise protect its rights;
3. the inventors agree to develop the invention or work in a manner which will benefit the public;
4. the University retains a royalty-free license to use the invention or work and any corresponding intellectual property for research and educational purposes;
5. the inventors are responsible for all future patent costs and agree to reimburse ISURF for any of its legal or licensing expenses from inventors' first revenues if and when the inventors receive revenues from the invention or work;
6. the inventors will share with ISURF 5% of any income the inventor receives from the commercialization of the invention or work for the term of the protection of the intellectual property (patent or copyright). The inventors are not entitled to share in the revenues returned to ISURF in this way;
7. the inventors agree, upon request, to report to ISURF regarding their development efforts;

8. the inventors agree to fulfill any obligations that may exist to sponsors of the research which led to the invention or work - in particular, the federal government - e.g., the grant of royalty-free, non-exclusive licenses to the sponsor or the sharing of royalty income with the sponsor. By way of clarification and not limitation, if the invention was federally-funded, the inventor(s) who have received reassignment will contact the appropriate government entity to coordinate efforts to comply with the Bayh-Dole Act and any other federal intellectual property statutes and regulations;
9. inventors will warrant that all data and information has been disclosed to ISURF and disclose to ISURF their interest, or lack of interest, in utilizing the technology in a company in which an inventor has a potential conflict of interest, including starting a company based on the invention to be assigned.

ISURF will make a good faith effort to notify inventors of its intention to cease efforts to commercialize an invention or work before the invention or work is permitted to fall into the public domain, thus permitting the inventors to request the re-assignment of the invention or work.

If an inventor requests the re-assignment of an invention or work that ISURF either 1) determines not to re-assign the invention to the inventors, and/or 2) determines should be placed in the public domain and the inventor does not agree with ISURF's determination, he or she may appeal to the ISURF Board of Directors.