

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT4582175

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
MARK A. AKESON	07/27/2017
DAVID W. DEAMER	07/16/2017
ROGER JINTEH ARRIGO CHEN	09/30/2005
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	THE REGENTS OF THE UNIVERSITY OF CALIFORNIA
<b>Street Address:</b>	1111 FRANKLIN STREET, TWELFTH FLOOR
<b>City:</b>	OAKLAND
<b>State/Country:</b>	CALIFORNIA
<b>Postal Code:</b>	94607-5200
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	15162225
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(650)327-3231
<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>	(650)327-3400
<b>Email:</b>	Raumer@bozpat.com
<b>Correspondent Name:</b>	BOZICEVIC, FIELD & FRANCIS LLP
<b>Address Line 1:</b>	201 REDWOOD SHORES PARKWAY, SUITE 200
<b>Address Line 4:</b>	REDWOOD CITY, CALIFORNIA 94065
<b>ATTORNEY DOCKET NUMBER:</b>	482.32-8
<b>NAME OF SUBMITTER:</b>	BRIAN E. DAVY
<b>SIGNATURE:</b>	/Brian E. Davy, Reg. No. 61,197/
<b>DATE SIGNED:</b>	09/06/2017
<b>Total Attachments: 5</b>	
source=482.32-8_Assignment for Recordation#page1.tif	
source=482.32-8_Assignment for Recordation#page2.tif	
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source=482.32-8_Assignment for Recordation#page4.tif	



## ASSIGNMENT

Atty Docket No.: 482.32-8  
UC Case No.: SC 2007-519

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

- |                                    |                           |
|------------------------------------|---------------------------|
| 1. <b>Mark A. Akeson</b>           | 2. <b>David W. Deamer</b> |
| 3. <b>Roger Jinteh Arrigo Chen</b> |                           |

hereby sells, assigns and transfers to ASSIGNEE, **The Regents of the University of California**, a California Corporation, having its statewide administrative offices located 1111 Franklin Street, Twelfth Floor, 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:

"Compositions, Devices, Systems, and Methods for Using a Nanopore"

and which is found in

- (a)    \_\_\_\_\_ U.S. provisional application filed herewith and listing the above named persons as inventors
- (b)    \_\_\_\_\_ U.S. patent application filed herewith and listing the above named persons as inventors
- (c)      X   U.S. Application Serial No.   15/162,225  , filed on   May 23, 2016
- (d)    \_\_\_\_\_ U.S. Patent No.: \_\_\_\_\_, issued \_\_\_\_\_
- (e)    \_\_\_\_\_ PCT Patent Application No. \_\_\_\_\_, filed on \_\_\_\_\_

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, conversion to 35 USC 111(a) 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 agrees 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 agrees that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR(S) and will testify as to the same in any interference, post grant review, inter partes review, 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.

ASSIGNMENT

Atty Docket No.: 482.32-8

UC Case No.: SC 2007-519

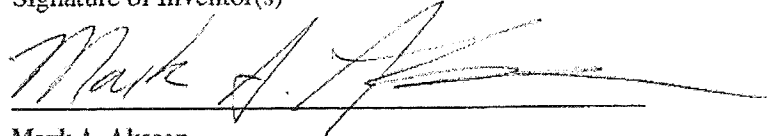
Page 2 of 2

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.

Executed this

Signature of Inventor(s)

1) 27 day of July, 2017

  
Mark A. Akeson

2) \_\_\_\_ day of \_\_\_\_\_, 2017

\_\_\_\_\_  
David W. Deamer

3) \_\_\_\_ day of \_\_\_\_\_, 2017

\_\_\_\_\_  
Roger Jinteh Arrigo Chen

Assignee hereby accepts this Assignment:

/Brian E. Davy/	Attorney	September 6, 2017
Name	Title	Date

## ASSIGNMENT

Atty Docket No.: 482.32-8  
UC Case No.: SC 2007-519

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- |                                    |                           |
|------------------------------------|---------------------------|
| 1. <b>Mark A. Akeson</b>           | 2. <b>David W. Deamer</b> |
| 3. <b>Roger Jinteh Arrigo Chen</b> |                           |

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- (a) \_\_\_\_\_ U.S. provisional application filed herewith and listing the above named persons as inventors
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- (e) \_\_\_\_\_ PCT Patent Application No. \_\_\_\_\_, filed on \_\_\_\_\_

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, conversion to 35 USC 111(a) 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;

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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.

Executed this

Signature of Inventor(s)

1) \_\_\_\_\_ day of \_\_\_\_\_, 2017

Mark A. Akesson

2) 16 day of July, 2017

David W. Deamer  
David W. Deamer

3) \_\_\_\_\_ day of \_\_\_\_\_, 2017

Roger Jintch Arrigo Chen

Assignee hereby accepts this Assignment:

/Brian E. Davy/

Attorney

September 6, 2017

Name

Title

Date



UNIVERSITY OF CALIFORNIA  
STATE OATH OF ALLEGIANCE, PATENT  
POLICY, AND PATENT  
ACKNOWLEDGMENT

UPAY585 (R11/97) E0420 71443-180

EMPLOYEE'S NAME (Last, First, Middle Initial) <u>Chen, Roder</u>		DATE PREPARED MO <u>9</u> DY <u>15</u> YR <u>05</u>
EMPLOYEE ID <u>782073770</u>	DEPARTMENT <u>Chemistry</u>	EMPLOYMENT DATE MO <u>10</u> DY <u>01</u> YR <u>05</u>

**STATE OATH OF ALLEGIANCE** I do solemnly swear (or affirm) that I will support and defend the Constitution of the United States and the Constitution of the State of California against all enemies, foreign and domestic; that I will bear true faith and allegiance to the Constitution of the United States and the Constitution of the State of California; that I take this obligation freely, without any mental reservation or purpose of evasion; and that I will well and faithfully discharge the duties upon which I am about to enter.

Taken and subscribed before me on: 9/15/05  
MO DY YR

Signature of  
Authorized Official: David

Title: Payroll

County: Santa Cruz State: CA

Signature of  
Officer or Employee: Roder Chen

10/11/05  
(DO NOT Sign Until in The Presence of Proper Witness.)

**UPDATED ON-LINE**

NOTE: No fee may be charged for administering this oath.

Oath must be administered by either (1) a person having general authority by law to administer oaths - for example Notaries Public, Civil Executive Officers (Section 1001 of Government Code), Judicial Officers, Justices of the Peace, and county officials named in Sections 24000, 24057 of Government Code; such as, district attorneys, sheriffs, county clerks, members of boards of supervisors, etc., or (2) by any University Officer or employee who has been authorized in writing by The Regents to administer such oaths

**WHO MUST SIGN THE OATH:** All persons (other than aliens) employed by the University, in common with all other California public employees, whether with or without compensation, must sign the oath. (Calif. Constitution, Article XX, Section 3, Calif. Government Codes, Sections 3100-3102.)

All persons re-employed by the University after a termination of service must sign a new Oath if the date of re-employment is more than one year after the date on which the previous Oath was signed (Calif. Government Code, Section 3102).

**WHEN OATH MUST BE SIGNED:** The Oath must be signed BEFORE the individual enters upon the duties of employment (Calif. Constitution, Article XX, Section 3; Calif. Government Code Section 3102.)

**WHERE OATHS ARE FILED:** The Oaths of all employees of the University shall be filed with the Campus Accounting Office.

**FAILURE TO SIGN OATH:** No compensation for service performed prior to his subscribing to the Oath or affirmation may be paid to a University employee. And no reimbursement for expenses incurred may be paid prior to his subscribing to the Oath or affirmation. (Calif. Government Code, section 3107.)

**PENALTIES:** "Every person who, while taking and subscribing to the Oath or affirmation required by this chapter, states as true any material which he knows to be false, is guilty of perjury, and is punishable by imprisonment in the state prison not less than one or more than 14 years." (Calif. Government Code, Section 3108.)

**PATENT ACKNOWLEDGMENT**

This acknowledgment is made by me to The Regents of the University of California, a corporation, hereinafter called "University," in part consideration of my employment, and of wages and/or salary to be paid to me during any period of my employment, by University, and/or my utilization of University research facilities and/or my receipt of gift, grant, or contract research funds through the University.

By execution of this acknowledgment, I understand that I am not waiving any rights to a percentage of royalty payments received by University, as set forth in the University of California Patent Policy, hereinafter called "Policy."

I also understand and acknowledge that the University has the right to change the Policy from time to time, including the percentage of net royalties paid to inventors, and that the policy in effect at the time an invention is disclosed shall govern the University's disposition of royalties, if any, from that invention. Further, I acknowledge that the percentage of net royalties paid to inventors is derived only from consideration in the form of money or equity received under: 1) a license or bailment agreement for licensed rights, or 2) an option or letter agreement leading to a license or bailment agreement. I also acknowledge that the percentage of net royalties paid to inventors is not derived from research funds or from any other consideration of any kind received by the University. The Policy on Accepting Equity When Licensing University Technology governs the treatment of equity received in consideration for a license.

I acknowledge my obligation to assign inventions and patents that I conceive or develop while employed by University or during the course of my utilization of any University research facilities or any connection with my use of gift, grant, or contract research funds received through the University. I further acknowledge my obligation to promptly report and fully disclose the conception and/or reduction to practice of potentially patentable inventions to the Office of Technology Transfer or authorized

Licensing office. Such inventions shall be examined by University to determine rights and equities therein in accordance with the Policy. I shall promptly furnish University with complete information with respect to each.

In the event any such invention shall be deemed by University to be patentable or protectable by an analogous property right, and University desires, pursuant to determination by University as to its rights and equities therein, to seek patent or analogous protection thereon, I shall execute any documents and do all things necessary, at University's expense, to assign to University all rights, title, and interest therein and to assist University in securing patent or analogous protection thereon. The scope of this provision is limited by California Labor Code section 2870, to which notice is given below. In the event I protest the University's determination regarding any rights or interest in an invention, I acknowledge my obligation: (a) to proceed with any University requested assignment or assistance; (b) to give University notice of that protest no later than the execution date of any of the above-described documents or assignment; and (c) to reimburse University for all expenses and costs it encounters in its patent application attempts, if any such protest is subsequently sustained or agreed to.

I acknowledge that I am bound to do all things necessary to enable University to perform its obligations to grantors of funds for research or contracting agencies as said obligations have been undertaken by University.

University may relinquish to me all or a part of its right to any such invention, if, in its judgment, the criteria set forth in the Policy have been met.

I acknowledge that I am bound during any periods of employment by University or for any period during which I conceive or develop any invention during the course of my utilization of any University research facilities, or any gift, grant, or contract research funds received through the University.

In signing this agreement I understand that the law, of which notification is given below, applies to me, and that I am still required to disclose all my inventions to the University.

**NOTICE:** This acknowledgment does not apply to an invention which qualifies under the provision of Labor Code section 2870 of the State of California which provides that (a) Any provision in an employment agreement which provides that an employee shall assign, or offer to assign, any of his or her rights in an invention to his or her employer shall not apply to an invention that the employee developed entirely on his or her own time without using the employer's equipment, supplies, facilities, or trade secret information except for those inventions that either: (1) Relate at the time of conception or reduction to practice of the invention to the employer's business, or actual or demonstrably anticipated research or development of the employer; or (2) Result from any work performed by the employee for the employer. (b) To the extent a provision in an employment agreement purports to require an employee to assign an invention otherwise excluded from being required to be assigned under subdivision (a), the provision is against the public policy of this state and is unenforceable. In any suit or action arising under this law, the burden of proof shall be on the individual claiming the benefits of its provisions.

RETENTION: Accounting: 5 years after separation, except in cases of disability, retirement or disciplinary action, in which cases retain until age 70.  
Other Copies: 0-5 years after separation.

Employee/Guest Name (Please print): Roder Chen

Employee/Guest Signature: Roder Chen

Witness Signature: David

Date: 9/30/05

Date: 9/15/05

Date: 9/15/05

**PLEASE SIGN STATE OATH AND PATENT ACKNOWLEDGMENT -- ATTACH TO PAF, UPAY560.**

**PATENT**

**RECORDED: 09/06/2017**

**REEL: 043510 FRAME: 0393**