

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

EPAS ID: PAT6273526

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
JEFFREY T. KOBERSTEIN	10/13/2018
SANJOY SAMANTA	08/04/2020
CHATHURANGA DE SILVA	08/28/2020
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK
<b>Street Address:</b>	412 LOW MEMORIAL LIBRARY
<b>Internal Address:</b>	535 WEST 116TH STREET
<b>City:</b>	NEW YORK
<b>State/Country:</b>	NEW YORK
<b>Postal Code:</b>	10027
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	15532405
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(914)288-0023
<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>	9148213097
<b>Email:</b>	uspto@leasonellis.com
<b>Correspondent Name:</b>	LEASON ELLIS LLP
<b>Address Line 1:</b>	ONE BARKER AVENUE, FIFTH FLOOR
<b>Address Line 4:</b>	WHITE PLAINS, NEW YORK 10601
<b>ATTORNEY DOCKET NUMBER:</b>	01001/005902-US4
<b>NAME OF SUBMITTER:</b>	MICHAEL A. DAVITZ
<b>SIGNATURE:</b>	/Michael A. Davitz/
<b>DATE SIGNED:</b>	08/28/2020
<b>Total Attachments: 10</b>	
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source=02540734#page3.tif

**ASSIGNMENT**

I, Jeffrey T. Koberstein, having a residence at Cataumet, MA, 02534;

I, Sanjoy Samanta, having a residence at Selmabad, IN, 721454;

I, Chathuranga De Silva, having a residence at New York, NY, 10027;

(hereinafter "ASSIGNORS") in consideration of good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, furnished to ASSIGNORS by

**The Trustees of Columbia University in the City of New York**

a Corporation having a place of business at 412 Low Memorial Library, 535 West 116th Street, New York, NY 10027 (hereinafter "ASSIGNEE"), do hereby sell and assign to said ASSIGNEE, its successors and assigns, the below indicated entire right, title, and interest, throughout the world in and to our Invention entitled:

**BIODEGRADABLE THERMO-RESPONSIVE POLYMERS AND USES THEREOF**

invented by us and described in U.S. Patent Application No. 15/532,405 filed January 11, 2018, in the United States of America; and any and all improvements thereto, and in and to the application and any division, continuation, or continuation-in-part thereof, and in and to any Letters Patent of the United States which may be issued on any of said applications, and any reissues or re-exams thereof, and in and to any and all applications for Letters Patent filed in foreign countries for said invention or improvements, including all priority rights, and any and all Letters Patent which may be granted in foreign countries therefor, and in and to any other applications based in whole or in part on any of the foregoing, said interest being our entire ownership interest in the same, to be held and enjoyed by said ASSIGNEE, its successors, assigns, or other legal representatives, to the full end of the term thereof, as fully and entirely as the same would have been held and enjoyed by us if this assignment and sale had not been made, including all rights of Assignor to recover for past infringement thereof;

And for the consideration aforesaid, we hereby covenant and agree to and with said ASSIGNEE, its successors and assigns, that whenever ASSIGNEE, its counsel or

representative, or the counsel or representative of its successors or assigns, shall advise that an amendment to, or a division of, or any other proceeding or action in connection with an application concerning said Invention is lawful and desirable, or that a reissue or continuation or extension of such application or patent issuing therefrom is lawful and desirable, we will sign all papers and drawings, take all rightful oaths and affidavits, and do all acts necessary or required to be done for the procurement of all lawful rights associated with the Invention, or for the reissue or continuation or extension of the same, will do all acts necessary or required to secure in said ASSIGNEE, its successors or assigns, the title to and full benefit of all rights hereby assigned, without charge to said ASSIGNEE or its successors or assigns, but at its or their expense; and we hereby appoint every present or future officer of said ASSIGNEE as our agent to sign all such papers and to do all such necessary acts on our behalf, to the fullest extent permitted by law;

And we hereby authorize and request the Commissioner of Patents and Trademarks and any other granting authority to issue any Letters Patent resulting from said Invention and application(s) concerning same to said ASSIGNEE.

This assignment shall have an effective date corresponding to the last date of execution.

We represent and warrant that we have the full power to make this assignment and that the rights, titles, and interests assigned are not encumbered by any grant, license, or right heretofore given.

We declare under penalty of perjury under the laws of the United States of America, and under penalty of the laws of any other jurisdiction before which this document may be presented, that we have signed this document as our own free act and that all of the foregoing is true and correct.

Dated: 10/13/2018

*Jeffrey T. Koberstein*  
Jeffrey T. Koberstein, Inventor

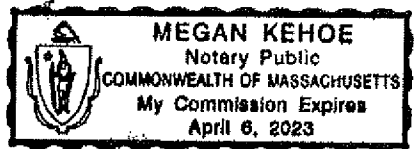
Dated: \_\_\_\_\_

\_\_\_\_\_  
Sanjoy Samanta, Inventor

Dated: \_\_\_\_\_

\_\_\_\_\_  
Chathuranga De Silva, Inventor

The Commonwealth of Massachusetts  
On this 13<sup>th</sup> day of October, 2018,  
Jeffrey T. Koberstein  
personally appeared before me, and proved to me through  
satisfactory evidence of identification, which were MADL  
to be the person whose name is signed on the preceding or  
attached document in my presence.



*Megan Kehoe*  
Megan Kehoe, Notary Public  
My Commission Expires 04/06/2023



**ASSIGNMENT**

I, Jeffrey T. Koberstein, having a residence at Cataumet, MA, 02534;

I, Sanjoy Samanta, having a residence at Selmabad, IN, 721454;

I, Chathuranga De Silva, having a residence at New York, NY, 10027;

(hereinafter "ASSIGNORS") in consideration of good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, furnished to ASSIGNORS by

**The Trustees of Columbia University in the City of New York**

a Corporation having a place of business at 412 Low Memorial Library, 535 West 116th Street, New York, NY 10027 (hereinafter "ASSIGNEE"), do hereby sell and assign to said ASSIGNEE, its successors and assigns, the below indicated entire right, title, and interest, **throughout the world** in and to our Invention entitled:

**BIODEGRADABLE THERMO-RESPONSIVE POLYMERS AND USES THEREOF**

invented by us and described in U.S. Patent Application No. **15/532,405** filed **January 11, 2018**, in the United States of America; and any and all improvements thereto, and in and to the application and any division, continuation, or continuation-in-part thereof, and in and to any Letters Patent of the United States which may be issued on any of said applications, and any reissues or re-exams thereof, and in and to any and all applications for Letters Patent filed in foreign countries for said invention or improvements, including all priority rights, and any and all Letters Patent which may be granted in foreign countries therefor, and in and to any other applications based in whole or in part on any of the foregoing, said interest being our entire ownership interest in the same, to be held and enjoyed by said ASSIGNEE, its successors, assigns, or other legal representatives, to the full end of the term thereof, as fully and entirely as the same would have been held and enjoyed by us if this assignment and sale had not been made, including all rights of Assignor to recover for past infringement thereof;

And for the consideration aforesaid, we hereby covenant and agree to and with said ASSIGNEE, its successors and assigns, that whenever ASSIGNEE, its counsel or

**PATENT**

representative, or the counsel or representative of its successors or assigns, shall advise that an amendment to, or a division of, or any other proceeding or action in connection with an application concerning said Invention is lawful and desirable, or that a reissue or continuation or extension of such application or patent issuing therefrom is lawful and desirable, we will sign all papers and drawings, take all rightful oaths and affidavits, and do all acts necessary or required to be done for the procurement of all lawful rights associated with the Invention, or for the reissue or continuation or extension of the same, will do all acts necessary or required to secure in said ASSIGNEE, its successors or assigns, the title to and full benefit of all rights hereby assigned, without charge to said ASSIGNEE or its successors or assigns, but at its or their expense; and we hereby appoint every present or future officer of said ASSIGNEE as our agent to sign all such papers and to do all such necessary acts on our behalf, to the fullest extent permitted by law;

And we hereby authorize and request the Commissioner of Patents and Trademarks and any other granting authority to issue any Letters Patent resulting from said Invention and application(s) concerning same to said ASSIGNEE.

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We declare under penalty of perjury under the laws of the United States of America, and under penalty of the laws of any other jurisdiction before which this document may be presented, that we have signed this document as our own free act and that all of the foregoing is true and correct.


Dated: \_\_\_\_\_

\_\_\_\_\_  
Jeffrey T. Koberstein, Inventor

Dated: \_\_\_\_\_

\_\_\_\_\_  
Sanjoy Samanta, Inventor

Dated: 8/28/2020

  
\_\_\_\_\_  
Chathuranga De Silva, Inventor



ACCEPTANCE BY ASSIGNEE

In connection with an assignment in any jurisdiction in which an acceptance by ASSIGNEE is required, I hereby accept this assignment on behalf of The Trustees of Columbia University in the City of New York. I declare under penalty of perjury under the laws of the United States of America, and under penalty of the laws of any other jurisdiction before which this document may be presented, that (check all that apply):

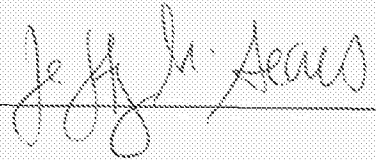
I am an officer of the above-identified ASSIGNEE,

I have signed this document on behalf of ASSIGNEE with the full authority of the ASSIGNEE.

and that all the foregoing is true and correct.

Dated: 08/28/20

By:  
Name:

  
\_\_\_\_\_

Title:

**Jeffrey M. Sears, Ph.D.**  
Associate General Counsel  
Columbia University

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**SUBSTITUTE STATEMENT IN LIEU OF AN OATH OR DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (35 U.S.C. 115(d) AND 37 CFR 1.64)**

<b>Title of Invention</b>	BIODEGRADABLE THERMO-RESPONSIVE POLYMERS AND USES THEREOF		
This statement is directed to:			
<input type="checkbox"/> The attached application,			
OR			
<input checked="" type="checkbox"/> United States application or PCT international application number <u>15/532,405</u> filed on <u>January 11, 2018</u> .			
<b>LEGAL NAME of inventor to whom this substitute statement applies:</b>			
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)			
Sanjoy SAMANTA			
Residence (except for a deceased or legally incapacitated inventor):			
City	State	Country	
Selmabad		IN	
Mailing Address (except for a deceased or legally incapacitated inventor):			
P.S. - Patashpur, Dist.-Purba, Medinipur, Pin-721454, WB			
City	State	Zip	Country
Selmabad		721454	IN
I believe the above-named inventor or joint inventor to be the original inventor or an original joint inventor of a claimed invention in the application.			
The above-identified application was made or authorized to be made by me.			
I hereby acknowledge that any willful false statement made in this statement is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.			
Relationship to the inventor to whom this substitute statement applies:			
<input type="checkbox"/> Legal Representative (for deceased or legally incapacitated inventor only),			
<input checked="" type="checkbox"/> Assignee,			
<input type="checkbox"/> Person to whom the inventor is under an obligation to assign,			
<input type="checkbox"/> Person who otherwise shows a sufficient proprietary interest in the matter (petition under 37 CFR 1.46 is required), or			
<input type="checkbox"/> Joint Inventor.			

[Page 1 of 2]

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. 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 1 minute 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: 053629 FRAME: 0771**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**SUBSTITUTE STATEMENT**

Circumstances permitting execution of this substitute statement:

- Inventor is deceased,
- Inventor is under legal incapacity,
- Inventor cannot be found or reached after diligent effort, or
- Inventor has refused to execute the oath or declaration under 37 CFR 1.63.

If there are joint inventors, please check the appropriate box below:

- An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) naming the entire inventive entity has been or is currently submitted.

OR

- An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) has not been submitted. Thus, a Substitute Statement Supplemental Sheet (PTO/AIA/11 or equivalent) naming the entire inventive entity and providing inventor information is attached. See 37 CFR 1.64(b).

**WARNING:**

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

**PERSON EXECUTING THIS SUBSTITUTE STATEMENT:**

Name:

Date (Optional)

Signature:

**APPLICANT NAME AND TITLE OF PERSON EXECUTING THIS SUBSTITUTE STATEMENT:**

If the applicant is a juristic entity, list the applicant name and the title of the signer.

The Trustees of Columbia University in the City of New York

Applicant Name:

Title of Person Executing

This Substitute Statement:

Jeffrey M. Sears, Ph.D.

Associate General Counsel

The signer, whose title is supplied above, is authorized to act on behalf of the applicant.

Residence of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent):

City

State

Country

Mailing Address of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent)

City

State

Zip

Country

Note: Use an additional PTO/AIA/02 form for each inventor who is deceased, legally incapacitated, cannot be found or reached after diligent effort, or has refused to execute the oath or declaration under 37 CFR 1.63.

## Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.