

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT6282652

<b>SUBMISSION TYPE:</b>	CORRECTIVE ASSIGNMENT	
<b>NATURE OF CONVEYANCE:</b>	Corrective Assignment to correct the ASSIGNEE NAME previously recorded on Reel 039797 Frame 0924. Assignor(s) hereby confirms the CORRECTIVE ASSIGNMENT TO CORRECT THE TYPO IN THE ASSIGNEE NAME, FROM "PTHERA, LLC" TO "PTHERA LLC".	
<b>RESUBMIT DOCUMENT ID:</b>	506042526	
<b>CONVEYING PARTY DATA</b>		
	<b>Name</b>	<b>Execution Date</b>
	LUIS H. DE TABOADA	09/19/2016
<b>RECEIVING PARTY DATA</b>		
<b>Name:</b>	PTHERA LLC	
<b>Street Address:</b>	19 SHEA WAY	
<b>City:</b>	NEWARK	
<b>State/Country:</b>	DELAWARE	
<b>Postal Code:</b>	19713	
<b>PROPERTY NUMBERS Total: 1</b>		
	<b>Property Type</b>	<b>Number</b>
	Application Number:	12846560
<b>CORRESPONDENCE DATA</b>		
<b>Fax Number:</b>	(877)769-7945	
<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>	858-678-5070	
<b>Email:</b>	apsi@fr.com	
<b>Correspondent Name:</b>	DARIELA ALMEDA	
<b>Address Line 1:</b>	FISH & RICHARDSON P.C.	
<b>Address Line 2:</b>	P.O.BOX 1022	
<b>Address Line 4:</b>	MINNEAPOLIS, MINNESOTA 55440-1022	
<b>ATTORNEY DOCKET NUMBER:</b>	41186-0028001	
<b>NAME OF SUBMITTER:</b>	SHERRY L. HUNT	
<b>SIGNATURE:</b>	/Sherry L. Hunt/	
<b>DATE SIGNED:</b>	09/03/2020	
<b>Total Attachments: 11</b>		
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## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT6089241

<b>SUBMISSION TYPE:</b>	CORRECTIVE ASSIGNMENT	
<b>NATURE OF CONVEYANCE:</b>	Corrective Assignment to correct the TYPO IN THE ASSIGNEE NAME, FROM "PTHERA, LLC" TO "PTHERA LLC" previously recorded on Reel 039797 Frame 0924. Assignor(s) hereby confirms the ASSIGNMENT.	
<b>CONVEYING PARTY DATA</b>		
	<b>Name</b>	<b>Execution Date</b>
	LUIS H. DE TABOADA	09/19/2016
<b>RECEIVING PARTY DATA</b>		
<b>Name:</b>	PTHERA LLC	
<b>Street Address:</b>	19 SHEA WAY	
<b>City:</b>	NEWARK	
<b>State/Country:</b>	DELAWARE	
<b>Postal Code:</b>	19713	
<b>PROPERTY NUMBERS Total: 1</b>		
	<b>Property Type</b>	<b>Number</b>
	Application Number:	12846560
<b>CORRESPONDENCE DATA</b>		
<b>Fax Number:</b>	(877)769-7945	
<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>	858-678-5070	
<b>Email:</b>	apsi@fr.com	
<b>Correspondent Name:</b>	DARIELA ALMEDA	
<b>Address Line 1:</b>	FISH & RICHARDSON P.C.	
<b>Address Line 2:</b>	P.O.BOX 1022	
<b>Address Line 4:</b>	MINNEAPOLIS, MINNESOTA 55440-1022	
<b>ATTORNEY DOCKET NUMBER:</b>	41186-0028001	
<b>NAME OF SUBMITTER:</b>	JOHN GUSTAV-WRATHALL	
<b>SIGNATURE:</b>	/John Gustav-Wrathall/	
<b>DATE SIGNED:</b>	05/04/2020	
<b>Total Attachments: 3</b>		
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**From:** PTAS <ptas@uspto.gov>  
**Sent:** Thursday, July 9, 2020 10:02:01 AM  
**To:** apsi <apsi@fr.com>  
**Cc:**  
**Subject:** Assignment Notice of Non-Recordation (WUID: 506042526)  
**Attachments:** Notice.pdf; CoverSheet.tif

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Please find attached the Notice of Non-Recordation and the corresponding TIFF image of the first page of the coversheet submitted to the Assignment Recordation Branch.

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WUID: 506042526  
DOCKET NUMBER: 41186-0028001  
FIRST ASSIGNEE: PThera LLC  
SOURCE: PTAS

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PLEASE NOTE: This is an unmonitored email address. In the event you need to contact the Assignment Recordation Branch, please email [assign@uspto.gov](mailto:assign@uspto.gov) or call (571) 272-3350.

The United States Patent and Trademark Office  
Mail Stop: Assignment Recordation Branch  
PO Box 1450  
Alexandria, VA 22313

This message contains information that may be confidential and privileged. Unless you are the addressee (or authorized to receive mail for the addressee), you should not use, copy or disclose to anyone this message or any information contained in this message. If you have received this message in error, please advise the Assignment Recordation Branch by e-mail and delete this message. Thank you for your cooperation.



**UNITED STATES PATENT AND TRADEMARK OFFICE**

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

July 09, 2020

PTAS

DARIELA ALMEDA  
FISH & RICHARDSON P.C.  
P.O.BOX 1022  
MINNEAPOLIS, MN 55440-1022



506042526

United States Patent and Trademark Office  
Notice of Non-Recordation of an Assignment Document

The enclosed document has been examined and found non-recordable by the Assignment Recordation Branch of the U.S. Patent and Trademark Office. The reason(s) for non-recordation are stated below:

1. The document submitted to correct errors in the previously recorded document is not acceptable. To correct an error in the recorded document, you must file a new cover sheet stating the error and the nature of conveyance, attach the previously recorded cover sheet which contains the error and the supporting document and pay the recording fees as set forth in 37 C.F.R. §3.34

Documents being resubmitted for recordation must reflect the corrected information to be recorded, the Document ID number referenced above and all pages from this submitted document. The original date of filing of this assignment document will be maintained if resubmitted with the appropriate correction(s) by **Wednesday, September 9, 2020**, as outlined under 37 CFR 3.51. The resubmitted document must include a stamp with the official date of receipt under 37 CFR 3. Applicants may use the certified procedures under 37 CFR 1.8 or 1.10 for resubmission of the returned papers if they desire to have the benefit of the date of deposit in the United States Postal Service.

To file the resubmission electronically, navigate to the EPAS website at <http://epas.uspto.gov>, click the Start Resubmission button and enter the following information:

**Document ID: 506042526**

**Access Code: K0T8ELXLTB4A9PE**

To file the resubmission in paper, send documents to: U.S. Patent and Trademark Office, Mail Stop: Assignment Recordation Branch, P.O. BOX 1450, Alexandria, VA 22313. If you have any questions regarding this notice, you may contact the Assignment Recordation Branch at 571-272-3350.

CHARLENE HERBERT  
ASSIGNMENT RECORDATION BRANCH  
PUBLIC RECORDS DIVISION

## PATENT ASSIGNMENT COVER SHEET

506042526

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT4059445

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT	
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT	
<b>CONVEYING PARTY DATA</b>		
<b>Name</b>		<b>Execution Date</b>
LUIS H. DE TABOADA		09/19/2016
<b>RECEIVING PARTY DATA</b>		
<b>Name:</b>	PTHERA, LLC	
<b>Street Address:</b>	19 SHEA WAY	
<b>City:</b>	NEWARK	
<b>State/Country:</b>	DELAWARE	
<b>Postal Code:</b>	19713	
<b>PROPERTY NUMBERS Total: 16</b>		
<b>Property Type</b>	<b>Number</b>	
Application Number:	11385980	
Application Number:	12389294	
Application Number:	12403824	
Application Number:	12496571	
Application Number:	12561194	
Application Number:	12561231	
Application Number:	12703653	
Application Number:	12846560	
Application Number:	13111840	
Application Number:	13234441	
Application Number:	11482220	
Application Number:	11766037	
Application Number:	11844205	
Application Number:	13342428	
Application Number:	10938423	
Application Number:	12817090	
<b>CORRESPONDENCE DATA</b>		
<b>Fax Number:</b>	(877)769-7945	
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.		

PATENT

<b>Phone:</b>	(612) 335-5070	506042526
<b>Email:</b>	apsi@fr.com	
<b>Correspondent Name:</b>	PAUL WESTERN	
<b>Address Line 1:</b>	FISH & RICHARDSON P.C.	
<b>Address Line 2:</b>	P.O.BOX 1022	
<b>Address Line 4:</b>	MINNEAPOLIS, MINNESOTA 55440-1022	

<b>ATTORNEY DOCKET NUMBER:</b>	41886-0021001
<b>NAME OF SUBMITTER:</b>	PAUL WESTERN
<b>SIGNATURE:</b>	/Paul Western/
<b>DATE SIGNED:</b>	09/20/2016

**Total Attachments: 3**

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source=Assignment from Luis H. De Taboada to Pthera, LLC#page3.tif

Attorney Docket No. 41186-0001001

Assignment from Luis H. De Taboada to Pthera, LLC

ASSIGNMENT

Assignor: Luis H. De Taboada

Assignee: Pthera, LLC  
 a limited liability corporation organized and existing under the laws of Delaware,  
 and having a place of business at: 19 Shea Way, Newark, Delaware 19713

Matter No.	Serial No.	Title	Filing Date
41186-0021001	11/385,980	Wearable Device And Method For Providing Phototherapy to The Brain	03/21/2006
41186-0022001	12/389,294	Apparatus And Method For Irradiating a Surface With Light	02/19/2009
41186-0023001	12/403,824	Method And Apparatus For Irradiating a Surface With Pulsed Light	03/13/2009
41186-0024002	12/496,571	Light-Emitting Device And Method For Providing Phototherapy to The Brain	07/01/2009
41186-0026002	12/561,194	Device For Providing Phototherapy to The Brain	09/16/2009
41186-0026003	12/561,231	Method For Providing Phototherapy to The Brain	09/16/2009
41186-0027001	12/703,653	Apparatus And Method For Indicating Treatment Site Locations For Phototherapy to The Brain	02/10/2010
41186-0028001	12/846,560	Enhanced Stem Cell Therapy And Stem Cell Production Through The Administration of Low Level Light Energy	07/29/2010
41186-0029001	13/111,840	Device And Method For Providing a Synergistic Combination of Phototherapy And a Non-Light Energy Modality to The Brain	05/19/2011
41186-0030002	13/234,441	Low Level Light Therapy For Enhancement of Neurologic Function	09/16/2011
N/A	11/482,220	Device and Method for Providing Phototherapy to the Brain	07/07/2006
N/A	11/766,037	Method of Treating or Preventing Depression	06/20/2007
N/A	11/844,205	Low Level Light Therapy For Enhancement of Neurologic Function of a Patient Affected By Parkinson's Disease	08/23/2007
N/A	13/342,428	Optical Assembly	01/03/2012
N/A	10/938,423	Device and Method for Providing Phototherapy to the Brain	09/10/2004
N/A	12/817,090	Low Level Light Therapy for Enhancement of Neurologic Function By Altering Axonal Transport Rate	06/16/2010

*De*  
 9/19/16



Attorney Docket No. 41186-0001001

Assignment from Luis H. De Taboada to Pthera, LLC

1. Assignor represents that it is the owner of the patents and patent applications listed above, and of all foreign and domestic patents, patent applications, including continuation-in-part applications, reissues, re-examinations, certificates of invention, and the like that derive priority from, or claim the benefit of the filing date of, the patents and patent applications listed above (the "Patents and Patent Applications") and of all new and useful inventions and improvements that are disclosed in the Patents and Patent Applications (the "Inventions"). The Patents and Patent Applications and the Inventions are collectively referred to as the "Patent Assets."
2. Assignor hereby assigns to Assignee its entire worldwide right, title, and interest in and to the Patent Assets, including the right to file and prosecute, in its own name wherever so permitted by law or in the name of Assignee wherever necessary, patent applications, including corresponding and continuing applications, reissues, re-examinations, certificates of invention, and the like based on any of the Patent Assets, and to claim priority to any of the Patents and Patent Applications pursuant to the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes. Assignor acknowledges receipt of fair and adequate consideration for this Assignment.
3. Assignor shall, when requested by Assignee and at no cost to Assignor, (i) execute or cause to be executed all rightful oaths, assignments, and powers of attorney to Assignee or to agents and legal representatives of Assignee, and all other papers necessary and proper to carry out the intent and purpose of this Assignment, (ii) execute all papers necessary in connection with the Patents and Patent Applications, and any continuing, divisional, reissue, reexamination or other corresponding application thereof or post-grant proceeding relating thereto and to execute any separate assignment in connection with any such application as Assignee may deem necessary or expedient; and (iii) perform all affirmative acts that may be necessary to obtain a grant of a valid patent to Assignee on any of the Inventions.
4. Assignor hereby assigns to Assignee all of Assignor's right, title, and interest in and to any claims, whether known or unknown, suspected or unsuspected, of any nature, including choses in action, that Assignor has or may have against any party for infringement of the Patents



PATENT

REEL: 059696 FRAME: 0226

Attorney Docket No. 41186-0001001

Assignment from Luis H. De Taboada to Pthera, LLC

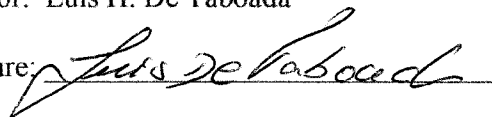
and Patent Applications, and acknowledges receipt of fair and adequate consideration for this Assignment.

5. Assignor represents that Assignor has the full right to convey the interests assigned by this Assignment, and that Assignor has not executed and will not execute any agreement in conflict with this Assignment.

6. This Assignment is binding upon and inures to the benefit of the successors and assigns of the parties.

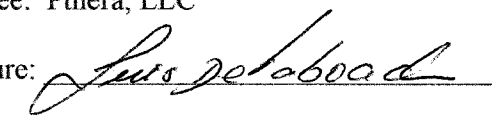
**The Assignor hereby executes this Assignment.**

Assignor: Luis H. De Taboada

Signature: Date: 9/19/2016Name: Luis H. De TaboadaTitle: N/A

**The Assignee hereby acknowledges and accepts the foregoing assignment.**

Assignee: Pthera, LLC

Signature: Name: Luis H. De TaboadaTitle: CEO

Attorney Docket No. 41186-0001001

Pthera LLC

Assignment from Luis H. De Taboada to ~~Pthera, LLC~~27e1  
5/3/2020ASSIGNMENT

Assignor: Luis H. De Taboada

Assignee: ~~Pthera, LLC~~ Pthera LLC

*LD 5/3/2020*  
 a limited liability corporation organized and existing under the laws of Delaware,  
 and having a place of business at: 19 Shea Way, Newark, Delaware 19713

Matter No.	Serial No.	Title	Filing Date
41186-0021001	11/385,980	Wearable Device And Method For Providing Phototherapy to The Brain	03/21/2006
41186-0022001	12/389,294	Apparatus And Method For Irradiating a Surface With Light	02/19/2009
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41186-0024002	12/496,571	Light-Emitting Device And Method For Providing Phototherapy to The Brain	07/01/2009
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41186-0030002	13/234,441	Low Level Light Therapy For Enhancement of Neurologic Function	09/16/2011
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N/A	11/766,037	Method of Treating or Preventing Depression	06/20/2007
N/A	11/844,205	Low Level Light Therapy For Enhancement of Neurologic Function of a Patient Affected By Parkinson's Disease	08/23/2007
N/A	13/342,428	Optical Assembly	01/03/2012
N/A	10/938,423	Device and Method for Providing Phototherapy to the Brain	09/10/2004
N/A	12/817,090	Low Level Light Therapy for Enhancement of Neurologic Function By Altering Axonal Transport Rate	06/16/2010

27e1  
9/19/16

Attorney Docket No. 41186-0001001

Pthera LLC

Assignment from Luis H. De Taboada to ~~Pthera, LLC~~*Done*  
*5/3/2020*

1. Assignor represents that it is the owner of the patents and patent applications listed above, and of all foreign and domestic patents, patent applications, including continuation-in-part applications, reissues, re-examinations, certificates of invention, and the like that derive priority from, or claim the benefit of the filing date of, the patents and patent applications listed above (the "Patents and Patent Applications") and of all new and useful inventions and improvements that are disclosed in the Patents and Patent Applications (the "Inventions"). The Patents and Patent Applications and the Inventions are collectively referred to as the "Patent Assets."

2. Assignor hereby assigns to Assignee its entire worldwide right, title, and interest in and to the Patent Assets, including the right to file and prosecute, in its own name wherever so permitted by law or in the name of Assignee wherever necessary, patent applications, including corresponding and continuing applications, reissues, re-examinations, certificates of invention, and the like based on any of the Patent Assets, and to claim priority to any of the Patents and Patent Applications pursuant to the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes. Assignor acknowledges receipt of fair and adequate consideration for this Assignment.

3. Assignor shall, when requested by Assignee and at no cost to Assignor, (i) execute or cause to be executed all rightful oaths, assignments, and powers of attorney to Assignee or to agents and legal representatives of Assignee, and all other papers necessary and proper to carry out the intent and purpose of this Assignment, (ii) execute all papers necessary in connection with the Patents and Patent Applications, and any continuing, divisional, reissue, reexamination or other corresponding application thereof or post-grant proceeding relating thereto and to execute any separate assignment in connection with any such application as Assignee may deem necessary or expedient; and (iii) perform all affirmative acts that may be necessary to obtain a grant of a valid patent to Assignee on any of the Inventions.

4. Assignor hereby assigns to Assignee all of Assignor's right, title, and interest in and to any claims, whether known or unknown, suspected or unsuspected, of any nature, including choses in action, that Assignor has or may have against any party for infringement of the Patents.

*Done*  
*9/19/10*

Attorney Docket No. 41186-0001001

Pthera LLC

Assignment from Luis H. De Taboada to ~~Pthera, LLC~~LDeT  
5/3/2020

and Patent Applications, and acknowledges receipt of fair and adequate consideration for this Assignment.

5. Assignor represents that Assignor has the full right to convey the interests assigned by this Assignment, and that Assignor has not executed and will not execute any agreement in conflict with this Assignment.

6. This Assignment is binding upon and inures to the benefit of the successors and assigns of the parties.

**The Assignor hereby executes this Assignment.**

Assignor: Luis H. De Taboada

Signature: Luis De Taboada

Date: 9/19/2016

Name: Luis H. De Taboada

Title: N/A

**The Assignee hereby acknowledges and accepts the foregoing assignment.**

Assignee: ~~Pthera, LLC~~ Pthera LLC

Signature: Luis De Taboada

Name: Luis H. De Taboada

Title: CFO