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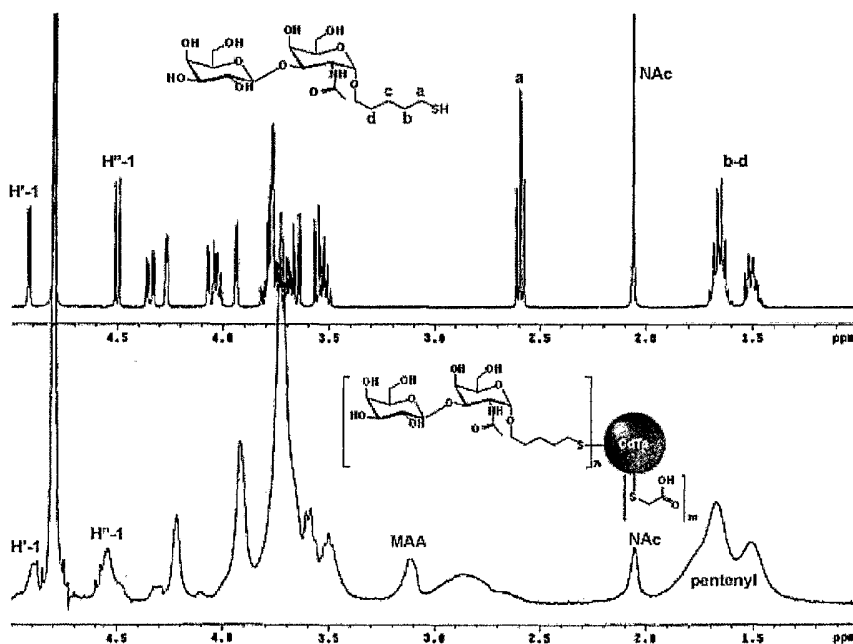
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- (71) Applicant (for all designated States except US): THE GOVERNMENT OF THE UNITED STATES OF AMERICA, AS REPRESENTED BY THE SECRETARY, DEPARTMENT OF HEALTH AND HUMAN SERVICES [US/US]; 6011 Executive Boulevard, Suite 325, National Institutes of Health, Office of Technology Transfer, Rockville, Maryland 20852-3804 (US).
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- (81) Designated States (unless otherwise indicated, for every kind of national protection available): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BW, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EE, EG, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NA, NI, NO, NZ, OM, PG, PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, SM, SY, TJ, TM, TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, YU, ZA, ZM, ZW.
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[Continued on next page]

(54) Title: CARBOHYDRATE-ENCAPSULATED QUANTUM DOTS FOR BIOLOGICAL IMAGING



(57) Abstract: Biofunctionalized quantum dots include a luminescence-enhancing mercaptoalkanoic acid and/or an ethylene glycol unit linked to the surface of a nanocrystalline core and a biofunctional group linked to the surface. The biofunctionalized quantum dots are made by an efficient synthesis method. The biofunctionalized quantum dots can be used in imaging or therapy applications.

WO 2005/093422 A3

**Declarations under Rule 4.17:**

- as to applicant's entitlement to apply for and be granted a patent (Rule 4.17(ii)) for the following designations AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BW, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EE, EG, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NA, NI, NO, NZ, OM, PG, PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, SM, SY, TJ, TM, TN, TR, TT, TZ, UA, UG, UZ, VC, VN, YU, ZA, ZM, ZW, ARIPO patent (BW, GH, GM, KE, LS, MW, MZ, NA, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IS, IT, LT, LU, MC, NL, PL, PT, RO, SE, SI, SK, TR), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG)

- as to the applicant's entitlement to claim the priority of the earlier application (Rule 4.17(iii)) for all designations
- of inventorship (Rule 4.17(iv)) for US only

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23 February 2006

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

INTERNATIONAL SEARCH REPORT

International Application No
PC 17/US2005/009344

<p>A. CLASSIFICATION OF SUBJECT MATTER G01N33/58</p> <p>According to International Patent Classification (IPC) or to both national classification and IPC</p>												
<p>B. FIELDS SEARCHED</p> <p>Minimum documentation searched (classification system followed by classification symbols) G01N</p> <p>Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched</p> <p>Electronic data base consulted during the international search (name of data base and, where practical, search terms used) EPO-Internal, WPI Data, CHEM ABS Data, PAJ, COMPENDEX</p>												
<p>C. DOCUMENTS CONSIDERED TO BE RELEVANT</p> <table border="1"> <thead> <tr> <th>Category °</th> <th>Citation of document, with indication, where appropriate, of the relevant passages</th> <th>Relevant to claim No.</th> </tr> </thead> <tbody> <tr> <td>E</td> <td>WO 2005/053649 A (THE GOVERNMENT OF THE UNITED STATES OF AMERICA AS REPRESENTED BY THE S) 16 June 2005 (2005-06-16) claims; examples</td> <td>1-14, 63-65</td> </tr> <tr> <td>X</td> <td>CHAN WCW ET AL: "Quantum Dot bioconjugates for ultrasensitive nonisotopic detection" SCIENCE, AMERICAN ASSOCIATION FOR THE ADVANCEMENT OF SCIENCE,, US, vol. 281, 25 September 1998 (1998-09-25), pages 2016-2018, XP002125871 ISSN: 0036-8075 page 1</td> <td>1,6-8,63</td> </tr> </tbody> </table>			Category °	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.	E	WO 2005/053649 A (THE GOVERNMENT OF THE UNITED STATES OF AMERICA AS REPRESENTED BY THE S) 16 June 2005 (2005-06-16) claims; examples	1-14, 63-65	X	CHAN WCW ET AL: "Quantum Dot bioconjugates for ultrasensitive nonisotopic detection" SCIENCE, AMERICAN ASSOCIATION FOR THE ADVANCEMENT OF SCIENCE,, US, vol. 281, 25 September 1998 (1998-09-25), pages 2016-2018, XP002125871 ISSN: 0036-8075 page 1	1,6-8,63	
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<p><input checked="" type="checkbox"/> Further documents are listed in the continuation of box C. <input checked="" type="checkbox"/> Patent family members are listed in annex.</p>												
<p>° Special categories of cited documents :</p> <table border="0"> <tr> <td>*A* document defining the general state of the art which is not considered to be of particular relevance</td> <td>*T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention</td> </tr> <tr> <td>*E* earlier document but published on or after the international filing date</td> <td>*X* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone</td> </tr> <tr> <td>*L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)</td> <td>*Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.</td> </tr> <tr> <td>*O* document referring to an oral disclosure, use, exhibition or other means</td> <td>*&* document member of the same patent family</td> </tr> <tr> <td>*P* document published prior to the international filing date but later than the priority date claimed</td> <td></td> </tr> </table>			*A* document defining the general state of the art which is not considered to be of particular relevance	*T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention	*E* earlier document but published on or after the international filing date	*X* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone	*L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	*Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.	*O* document referring to an oral disclosure, use, exhibition or other means	*&* document member of the same patent family	*P* document published prior to the international filing date but later than the priority date claimed	
A document defining the general state of the art which is not considered to be of particular relevance	*T* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention											
E earlier document but published on or after the international filing date	*X* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone											
L document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	*Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.											
O document referring to an oral disclosure, use, exhibition or other means	*&* document member of the same patent family											
P document published prior to the international filing date but later than the priority date claimed												
<p>Date of the actual completion of the international search 7 December 2005</p>		<p>Date of mailing of the international search report 21/12/2005</p>										
<p>Name and mailing address of the ISA European Patent Office, P.B. 5818 Patentlaan 2 NL - 2280 HV Rijswijk Tel. (+31-70) 340-2040, Tx. 31 651 epo nl, Fax: (+31-70) 340-3016</p>		<p>Authorized officer Pollio, M</p>										

INTERNATIONAL SEARCH REPORT

International Application No
PC 17 US 2005/009344

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category °	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	LAWLESS D ET AL: "BIFUNCTIONAL CAPPING OF CDS NANOPARTICLES AND BRIDGING TO TIO2" JOURNAL OF PHYSICAL CHEMISTRY, AMERICAN CHEMICAL SOCIETY, US, vol. 99, 1995, pages 10329-10335, XP000829587 ISSN: 0022-3654 abstract -----	1
X	US 6 306 610 B1 (BAWENDI MOUNGI G ET AL) 23 October 2001 (2001-10-23) figure 10 -----	1-3

INTERNATIONAL SEARCH REPORT

International application No.
PCT/US2005/009344

Box II Observations where certain claims were found unsearchable (Continuation of item 2 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. Claims Nos.:
because they relate to subject matter not required to be searched by this Authority, namely:

2. Claims Nos.:
because they relate to parts of the International Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:

3. Claims Nos.:
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

Box III Observations where unity of invention is lacking (Continuation of item 3 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

see additional sheet

1. As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
2. As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos.:
4. No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

Remark on Protest

- The additional search fees were accompanied by the applicant's protest.
- No protest accompanied the payment of additional search fees.

FURTHER INFORMATION CONTINUED FROM PCT/ISA/ 210

This International Searching Authority found multiple (groups of) inventions in this international application, as follows:

1. claims: '1!, 2-5, '6-8!, 15-62, '63-65!, 66-94

Quantum dots comprising nanocrystalline core and ethylene glycol linked to the surface; methods involving their use and their production.

2. claims: '1,6-14,63-65!

Quantum dots comprising nanocrystalline core and alkylthio acid linked to the surface; methods involving their use and their production

3. claims: '1,6-14,63-65!

Quantum dots comprising nanocrystalline core and mercaptoacetic acid linked to the surface; methods involving their use and their production

Information on patent family members

International Application No
PCT, US2005/009344

Patent document cited in search report		Publication date		Patent family member(s)	Publication date
WO 2005053649	A	16-06-2005	AU	2003285133 A1	24-06-2005
US 6306610	B1	23-10-2001	US	6326144 B1	04-12-2001