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To the Honorable Commissioner of Patents and Trademarks, please record the attached original documents or copy thereof.

1. Name of conveying party(ies):  
**Marc Ballivet**

Additional names(s) of conveying party(ies) ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: **February 17, 1998**

2. Name and address of receiving party(ies):

Name: **Stuart Kauffman**Internal Address: **SANTA FE INSTITUTE**Street Address: **1399 Hyde Park Road**City: **Santa Fe Institute** State: **NM** ZIP: **87501**Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

**68/464,142**

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Cathryn Campbell**Internal Address: **CAMPBELL & FLORES LLP**Street Address: **4370 La Jolla Village Drive, Suite 700**City: **San Diego** State: **CA** ZIP: **92122**6. Total number of applications and patents involved: **1**7. Total fee (37 CFR 3.41):.....\$ **40.00**☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

**03-0370**

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

**David A. Gay, Reg. No. 39,200**

Name of Person Signing

Signature

March 19, 1998

Date

Total number of pages including cover sheet, attachments, and document: **3**

PATENT

**3**

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ASSIGNMENT

This Assignment is made by Marc Ballivet of Geneva, Switzerland, Assignor, to Stuart Kauffman, Assignee, having a place of business at SANTA FE INSTITUTE, 1399 Hyde Park Road, Santa Fe Institute, New Mexico 87501.

WHEREAS, Assignor is a co-inventor of a new and useful invention entitled PROCESS FOR OBTAINING DNA, RNA, PEPTIDES, POLYPEPTIDES, OR PROTEIN, BY RECOMBINANT DNA TECHNIQUE for which an application for United States Letters Patent was filed on June 5, 1995, in the United States Patent and Trademark Office, bearing Serial No. 08/464,142 and listing as inventors Stuart Kauffman Marc Ballivet.

WHEREAS, Assignor believes himself to be an original inventor of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, the parties desire to have a recordable instrument assigning to Stuart Kauffman the entire right, title and interest in and to said invention, said application and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, in accordance with the obligations to assign the invention and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor sells, assigns, and transfers to Assignee Stuart Kauffman, the entire right, title, and interest in and to said invention, said application and any Letters Patent that have or may be granted for said invention in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties, or otherwise.

Assignor agrees that, upon request and without further compensation, but at no expense to Assignor, he and his legal representatives and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing, or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording, or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

PATENT

REEL: 9054 FRAME: 0438


Kauffman and Ballivet  
 Serial No.: 08/464,142  
 Filed: June 5, 1995  
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Assignor represents and warrants that he has not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignor authorizes and requests the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for said invention, whether on said application or on any subsequently filed divisional, continuation, continuation-in-part or reissue application, to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

IN WITNESS WHEREOF, Assignor has executed this Assignment on the date(s) provided below.

EXECUTED at Geneva,  
 this 17th day of February, 1998.

  
 \_\_\_\_\_  
 Marc Ballivet (Signature)

  
 \_\_\_\_\_  
 Witness (Signature)

J-M Matter  
 \_\_\_\_\_  
 (Name Printed)