

05-18-1998

Docket No. 52776/JPW/JML

FORM PTO-1595 (Substitute)
(Rev. 8-96)



U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

To the Honorable Commissioner of F

100713391

had original documents or copy thereof.

1. Name of conveying party(ies):

Eric R. Kandel
Mark Mayford

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

The Trustees of Columbia University
in the City of New York

APR 20 1998
RECEIVED

Additional name(s) of conveying party(ies) attached?

Yes No

Internal Address:

Street Address: West 116th Street & Broadway

3. Nature of Conveyance:

Assignment Merger
 Security Agreement Change of Name
 Other

City/State/Zip: New York, New York 10027

Execution Date(s): December 18, 1997;
March 24, 1998

Additional name(s) & address(es) attached? Yes No

4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date(s) of the application is(are): November 18, 1997 and December 18, 1997

A. Patent Application No.(s) 08/969,137
filed November 12, 1997

B. Patent No.(s)

Additional numbers attached? Yes No

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

Name: John P. White, Esq.

Internal Address:

Street Address: Cooper & Dunham LLP
1185 Avenue of the Americas

City/State/Zip: New York, New York 10036

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:

03-3125

05/13/1998 JPH00077 0000042 033125 00969137
Sale Ref: 0000042 0001 033125 00969137
01 FC:581 40.00 CH

DO NOT USE THIS SPACE

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.

John P. White
Name of Person Signing

Signature

April 16, 1998
Date

I hereby certify that this correspondence is being deposited this date with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231.

John P. White
Registration No. 28,678

4/16/98
Date

Total Number of pages including cover sheet, attachments and document: 4

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents and Trademarks
Box Assignments
Washington, D.C. 20231

PATENT

REEL: 9161 FRAME: 0858

Assignment

In consideration of One Dollar (\$1.00), and other good and valuable considerations, the receipt of which is hereby acknowledged, we , the undersigned,

Eric R. Kandel and Mark Mayford

Hereby sell, assign and transfer to The Trustees of Columbia University in
The City of New York *a corporation of the State of*
New York *having a place of business at* West 116th Street & Broadway,
in the County of New York *and State of* New York
its successors, assigns and legal representatives, the entire right, title and interest
for all countries, in and to any and all inventions which are disclosed and claimed,
and any and all inventions which are disclosed but not claimed, in the application for
United States Patent, which has been executed by the undersigned on November
and is entitled 18, and December 18, 1997

DNA REGULATORY ELEMENT FOR THE EXPRESSION OF TRANSGENES IN NEURONS OF
THE MOUSE FOREBRAIN

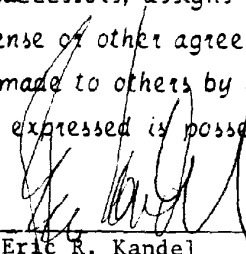
(U.S. Serial No.: 08/969,137 Filed: November 12, 1997)

and in and to said application and all divisional, continuing, substitute, renewal,
reissue, and all other applications for U.S. Letters Patent or other related property
rights in any and all foreign countries which have been or shall be filed on any of
said inventions disclosed in said application; and in and to all original and reissued
patents or related foreign documents which have been or shall be issued on said
inventions;

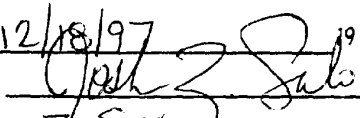
Authorize and request the Commissioner of Patents of the United States to issue
to said Assignee, the corporation above named, its successors, assigns and legal
representatives, in accordance with this assignment, any and all United States
Letters Patent on said inventions or any of them disclosed in said application;

Agree that said Assignee may apply for and receive foreign Letters Patent or rights of any other kind for said inventions, or any of them; and may claim, in applications for said foreign Letters Patent or other rights, the priority of the aforesaid United States patent application under the provisions of the International Convention of 1883 and later modifications thereof, under the Patent Cooperation Treaty, under the European Patent Convention or under any other available international agreement; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this assignment, the undersigned or the undersigned's executors or administrators will, for the United States and all foreign countries, execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications or other documents on any and all said inventions; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignee, its successors, assigns and representatives, all facts known and documents available to the undersigned relating to said inventions and the history thereof; testify in all legal proceedings; and generally do everything possible which said Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing, maintaining and enforcing proper patent protection for said inventions and for vesting title to said inventions and all applications for patents or related foreign rights and all patents on said inventions, in said Assignee, its successors, assigns and legal representatives; and

Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.



Eric R. Kandel [L.S.]

Date: 12/18/97 19
Witness: 
JOSHUA Z. SABO
20 MAGNOLIA AVENUE
HILLSDALE, NJ 07642

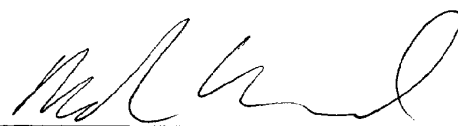
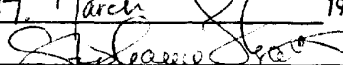
Mark Mayford [L.S.]

Date: _____ 19
Witness: _____

Agree that said Assignee may apply for and receive foreign Letters Patent or rights of any other kind for said inventions, or any of them; and may claim, in applications for said foreign Letters Patent or other rights, the priority of the aforesaid United States patent application under the provisions of the International Convention of 1883 and later modifications thereof, under the Patent Cooperation Treaty, under the European Patent Convention or under any other available international agreement; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this assignment, the undersigned or the undersigned's executors or administrators will, for the United States and all foreign countries, execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications or other documents on any and all said inventions; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignee, its successors, assigns and representatives, all facts known and documents available to the undersigned relating to said inventions and the history thereof; testify in all legal proceedings; and generally do everything possible which said Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing, maintaining and enforcing proper patent protection for said inventions and for vesting title to said inventions and all applications for patents or related foreign rights and all patents on said inventions, in said Assignee, its successors, assigns and legal representatives; and

Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Date: _____ 19 _____ Eric R. Kandel [L.S.]
Witness: _____

Date: 24 March 1998  [L.S.]
Witness: 

STEPHANIE SANKIS
1031 Opal Street
Pacific Beach, CA 92109