

06-04-1998



100727040

Docket No.: TRAN1-070

HEET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

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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):

Douglas T. Gjerde

Robert M. Haeefe

David W. Togami

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

3. Nature of conveyance:

MRD 5-18-98

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: **May 15, 1998**

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

Name: **Transgenomic, Inc.**

Internal Address: _____

Street Address: **1620 Old Oakland Road**

Suite D-200

City: **San Jose** State: **CA** ZIP: **95131**

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

U.S. PTO
09/08/1040
Jcl 35
05/18/98

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: **May 18, 1998**

A. Patent Application No.(s)

B. Patent No.(s)

09/081040

Additional numbers attached? ☐ Yes ☒ No

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

Name: **William B. Walker**

Internal Address: **Enterprise Law Group, Inc.**

Street Address: **4400 Bohannon Drive**

Suite 280

City: **Menlo Park** State: **CA** ZIP: **94025**

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ **40.00**

- ☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account
☒ Authorized to be charged to deposit account

8. Deposit account number:

05-1090

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.

Bruce M. Bertram Reg. No. 38,828

Bruce M. Bertram

May 18, 1998

Name of Person Signing

Signature

PATENT **17**

Date

Total number of pages including cover sheet, attachments, and document: **228**

ASSIGNMENT

KNOW ALL MEN BY THESE PRESENTS, that Whereas we Douglas T . GJERDE, Robert M . HAEFELE, and David W. TOGAMI, invented certain new and useful improvements in **SYSTEM AND METHOD FOR PERFORMING POLYNUCLEOTIDE SEPARATIONS USING LIQUID CHROMATOGRAPHY**, and have disclosed the same in an application for Letters Patent, filed in the United States Patent and Trademark Office concurrently herewith; and

WHEREAS TRANSGENOMIC, INC., a corporation duly organized and existing under the laws of **DELAWARE**, and having a post office address at **1620 Old Oakland Road, Suite D-200, San Jose, CA 95131** is desirous of acquiring an interest therein and in the Letters Patent to be obtained therefor from the United States Patent and Trademark Office;

NOW THEREFORE, in consideration of the sum of one dollar (\$1.00) and other good and valuable considerations to us by **TRANSGENOMIC, INC.**, the receipt whereof is hereby acknowledged, We do hereby sell, assign, transfer and set over unto **TRANSGENOMIC, INC.**, its successors and assigns, the entire right, title and interest in, to and under the said application for United States Letters Patent, including all priority rights arising therefrom, all inventions therein disclosed, and any and all Letters Patent of the United States and of all other countries which may be granted for the said inventions, or any of them.

TO HAVE, HOLD and ENJOY the said inventions, the said Application, and the said Letters Patent to said **TRANSGENOMIC, INC.**, its successors and assigns, to its and their own use and behoof to the full end of the term or terms for which the said Letters Patent may be granted as fully and entirely as the same would have been held and enjoyed by us had this assignment and sale not been made.

And We do hereby authorize and request the Commissioner of Patents of the United States to issue any United States Letters Patent which may be granted on the said application, or

assign.doc

any original, divisional, reissue, continuation, or provisional applications, or for the said inventions of any of them, to said **TRANSGENOMIC, INC.**, its successors and assigns, as assignees of the entire right, title and interest therein and thereto.

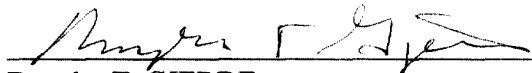
And We do hereby, for ourselves and for our legal representatives, covenant and agree with **TRANSGENOMIC, INC.**, its successors and assigns, that We have granted to others no license to make, use or sell any of the said inventions, that our right, title and interest in the said inventions has not been encumbered, that We have good right and title to sell and assign the same, and that We will not execute any instrument in conflict herewith.

And We do hereby, for ourselves and for our legal representatives, further covenant and agree with **TRANSGENOMIC, INC.**, its successors and assigns, that upon request We will, and they shall, execute original, divisional, reissue, continuation, or provisional applications, amended specifications, or rightful oaths; communicate to **TRANSGENOMIC, INC.**, its successors and assigns, any facts known to us relating to the said inventions or the history thereof; execute preliminary statements and testify in any interference proceedings; execute and deliver any application papers, assignments, or other instruments, and do all other acts which, in the opinion of counsel for **TRANSGENOMIC, INC.**, may be necessary or convenient to secure the grant of Letters Patent to **TRANSGENOMIC, INC.**, its successors and assigns, or its nominees, in the United States and in all other countries where **TRANSGENOMIC, INC.** may desire to have the said inventions, or any of them, patented, with specifications and claims in such form as shall be approved by counsel for **TRANSGENOMIC, INC.**, and to vest and confirm in **TRANSGENOMIC, INC.**, its successors and assigns, or its nominees, the full and complete legal and equitable title to all such Letters Patent, without further consideration than now paid but at the expense of **TRANSGENOMIC, INC.**, its successors and assigns.

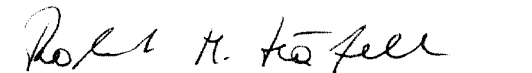
The undersigned hereby grant to WILLIAM B. WALKER, Registration No. 22,498, of the firm of ENTERPRISE LAW GROUP, INC., 4400 Bohannon Drive, Suite 280, Menlo Park, CA 94025-1041, the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trade-mark Office for recordation of this document.

IN WITNESS WHEREOF, We have hereunto set our hands and seals on the dates indicated below:

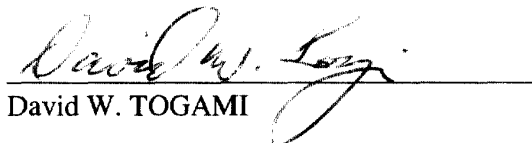
Date: 5-15-98


Douglas T. GJERDE

Date: 05-15-98


Robert M. HAEFELE

Date: 5-16-98


David W. TOGAMI

STATE OF California)
) ss.
COUNTY OF Santa Clara)

On this 15th day of MAY in the year 1998, before me,
BHAVANA R. PATEL, a Notary Public in and for said State, personally
appeared Douglas T. Gjerde

☐ personally known to me -OR-
☒ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledge
that he executed the same in his authorized capacity, and that by his signature on the instrument
the person, to the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and Official Seal.



Bhavana Patel

Signature of Notary
Notary for the State of California
Residing in Milpitas California
My Commission expires MARCH 2, 2001

STATE OF California)
) ss.
COUNTY OF Santa Clara)

On this 15th day of MAY in the year 1998, before me,
BHAVANA R. PATEL, a Notary Public in and for said State, personally
appeared Robert M. Haffele
☐ personally known to me -OR-
☒ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledge
that he executed the same in his authorized capacity, and that by his signature on the instrument
the person, to the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and Official Seal.



Bhavana Patel
Signature of Notary
Notary for the State of California
Residing in Milpitas California
My Commission expires MARCH 2, 2001

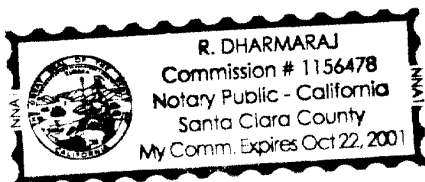
STATE OF California)
) ss.
COUNTY OF Santa Clara)

On this 16th day of May in the year 1998, before me,
R. Dharmaraj, a Notary Public in and for said State, personally
appeared David W. TOLANI

☐ personally known to me -OR-
☒ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledge
that he executed the same in his authorized capacity, and that by his signature on the instrument
the person, to the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and Official Seal.



[Signature]
Signature of Notary
Notary for the State of California
Residing in 2667 Crifley Ave, San Jose, CA 95132
My Commission expires Oct 22, 2001