

11-19-1998

FORM PTO-1595
(Rev. 6/93)

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U.S. DEPARTMENT OF COMMERCE
Patent and Trademark OfficeRECORDATION FORM COVER SHEET
PATENTS ONLY

Attorney Docket No. 600-1-192

To the Assistant Commissioner for Patents. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Howard Hughes Medical Institute

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name

Other: _____

Execution Date: May 12, 1998

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

Name: The Rockefeller University

Address: 1230 York Avenue

New York, New York 10021-6399

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 of the application is: _____

A. Patent Application No.(s)

08/880,966

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: David A. Jackson, Esq.

Address: KLAUBER & JACKSON

411 Hackensack Avenue, 4th Floor

Hackensack, New Jersey 07601

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, if necessary - for overages or underpayments only

8. Deposit account number:

11-1153

(Attach duplicate copy of this page if paying by deposit account)

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.

Michael D. Davis, Reg. No. 39,161
Name of Person Signing

Signature
11/12/98
Date

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

Mail documents to be recorded with required cover sheet information to:

Assistant Commissioner For Patents
Box Assignments
Washington, D.C. 20231
 11/18/1998 JMWKINS 00000074
 40.00
 01 FC:581
PATENT
REEL: 9585 FRAME: 0065

ASSIGNMENT

Assignment made May 12, 1998 by the Howard Hughes Medical Institute, a Delaware corporation, having a principal business address at 4000 Jones Bridge Road, Chevy Chase, MD 20815-6789 (the "Institute"), to The Rockefeller University, an education corporation organized and existing under the laws of the State of New York, with offices at 1230 York Avenue, New York, New York 10021-6399 ("Rockefeller").

Recitals

WHEREAS, the Institute and Rockefeller collaborate in the active conduct of medical research pursuant to a Collaboration Agreement between them dated as of August 12, 1986 (the "Collaboration Agreement");

WHEREAS, pursuant to the Collaboration Agreement, the Institute has agreed to assign to Rockefeller the Institute's rights with respect to inventions, discoveries, improvements, and other intellectual property, whether patentable or copyrightable (each a "subject property"), conceived or reduced to practice in the course of the research program conducted under the Collaboration Agreement by employees of the Institute; and

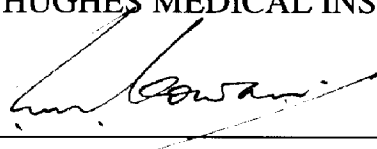
WHEREAS, research conducted pursuant to the Collaboration Agreement by Nathaniel Heintz, Ph.D. while employed by the Institute at Rockefeller has resulted in an invention entitled "Methods of Performing Homologous Recombination Based Modification of Nucleic Acids in Recombination Deficient Cells and Use of the Modified Nucleic Acid Products Thereof" (the "Invention").

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged by the Institute, the Institute agrees as follows:

1. Assignment. The Institute hereby assigns to Rockefeller any and all right, title, and interest of the Institute; any United States patent applications and all corresponding foreign patent applications, which are directed to the Invention (including, without limitation, the patent application entitled "Methods of Performing Homologous Recombination Based Modification of Nucleic Acids in Recombination Deficient Cells and Use of the Modified Nucleic Acid Products Thereof," filed in the United States Patent and Trademark Office on June 23, 1997, and assigned U.S. Serial No. 08/880,966), and any and all patents issued therefrom; all United States or foreign divisions and continuations based on any of the foregoing, and any and all patents issued therefrom; and all claims which are directed to the Invention and are contained in continuation-in-part applications or in patents which issue therefrom; all in accordance with and subject to the provisions of the Collaboration Agreement (including, without limitation, Section 4.1 thereof); and further authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any country or countries foreign to the United States whose duty it is to issue patents on applications as aforesaid to issue all Letters Patent for the Invention to Rockefeller.

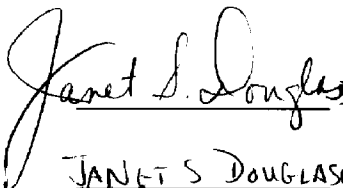
2. Cooperation. The Institute agrees to execute upon request such further assignments, documents, and other instruments as may be necessary or desirable fully and completely to assign the Institute's interests in the Invention to Rockefeller and to assist Rockefeller in applying for, obtaining, and enforcing patents, copyrights, or other rights in the United States and in any foreign country with respect to any such Invention.

HOWARD HUGHES MEDICAL INSTITUTE

By: 
W. Maxwell Cowan, M.D., Ph.D.
Vice President and Chief Scientific Officer

State of Maryland
Montgomery County

Then personally appeared before me the above-named W. MAXWELL COWAN, known to me to be the Vice President and Chief Scientific Officer of the Howard Hughes Medical Institute, and acknowledged that he executed the foregoing instrument as the free act and deed of the Howard Hughes Medical Institute, and that he was authorized to execute said instrument, this 18 day of May, 1998.

 Notary Public
JANET S DOUGLAS(print name)

My commission expires 1/1/99

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HHMI 021928-97-00956