

12-02-1998



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U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original document or copy thereof.

1. Name of conveying party:

- 1) JAMES B. DALE
- 2)
- 3)
- 4)
- 5)
- 6)



11-24-98

Additional names of conveying parties attached? ☐ Yes ☒ No

2. Name and address of receiving party:

Name: UNIV. OF TENNESSEE RESEARCH CORP.

Internal Address: \_\_\_\_\_

Street Address: 1534 WHITE AVENUE

SUITE 403

City: KNOXVILLE State: TN

Zip: 37996-1527

Additional names & addresses attached? ☐ Yes ☒ No

3. Nature of conveyance:

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

Execution Dates:

- 1) NOVEMBER 16, 1998 4) \_\_\_\_\_
- 2) \_\_\_\_\_ 5) \_\_\_\_\_
- 3) \_\_\_\_\_ 6) \_\_\_\_\_

4. Application number(s) or registration 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).  
09/151,409

B. Patent No(s).

Additional numbers attached? ☐ Yes ☒ No

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

Name: SEED AND BERRY LLP

Internal Address: DAVID D. MCMASTERS

6300 COLUMBIA CENTER

Street Address: 701 FIFTH AVENUE

City: SEATTLE State: WA ZIP: 98104-7092

6. Total number of applications and patents involved..... 1

7. Total Fee (37 CFR 3.41): ..... \$40

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number:

19-1090

12/01/1998 DNGUYEN 00000118 09151409

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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 D. MCMASTERS  
Name of Person Signing

David D. McMasters  
Signature

Nov. 20, 1998  
Date

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

## ASSIGNMENT

WHEREAS, I, James B. Dale (hereinafter referred to as ASSIGNOR), having a post office address of 72 Lombardi Road, Memphis, Tennessee 38111, am the sole inventor of an invention entitled "GROUP A STREPTOCOCCAL VACCINES," as described and claimed in the specification for which an application for United States letters patent was filed on September 10, 1998, and assigned Application No. 09/151,409 which claims the benefit of U.S. Provisional Application 481112.410P1, filed September 12, 1997; and

WHEREAS, The University of Tennessee Research Corporation (hereinafter referred to as ASSIGNEE), a corporation of the State of Tennessee having a place of business at 1534 White Avenue, Suite 403, Knoxville, Tennessee 37996-1527, is desirous of acquiring the entire right, title and interest in and to the invention and in and to any letters patent that may be granted therefor in the United States and in any and all foreign countries;

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR hereby sells, assigns and transfers unto said ASSIGNEE the entire right, title and interest in and to said invention, said application and any and all letters patent which may be granted for said invention in the United States of America and its territorial possessions and in any and all foreign countries, and in any and all divisions, reissues and continuations thereof, including the right to file foreign applications directly in the name of ASSIGNEE and to claim priority rights deriving from said United States application to which said foreign applications are entitled by virtue of international convention, treaty or otherwise, said invention, application and all letters patent on said invention to be held and enjoyed by ASSIGNEE and its successors and assigns for their use and benefit and of their successors and assigns as fully and entirely as the same would have been held and enjoyed by ASSIGNOR had this assignment, transfer and sale not been made. ASSIGNOR hereby authorizes and requests the Commissioner of Patents and Trademarks to issue all letters patent on said invention to ASSIGNEE. ASSIGNOR agrees to execute all instruments and documents required for the making and prosecution of applications for United States and foreign letters patent on said invention, for litigation regarding said letters patent, or for the purpose of protecting title to said invention or letters patent therefor.

Nov 16, 1998  
Date

James B. Dale  
James B. Dale

State of TENNESSEE)  
County of SHELBY)

ss.

I certify that I know or have satisfactory evidence that James B. Dale is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.

Dated November 16, 1998

Signature of Notary Public Katherine L. Sink

Printed Name KATHERINE L. SINK

My appointment expires My Commission Expires July 11, 1999

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