

12-09-1998

Attorney Docket No. SRL



100914449

M COVER SHEET  
ONLY

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

## 1. Name of conveying party(ies) (assignor(s)):

(1) Karen L. WOOLEY (3) Haiyong HUANG  
(2) K. Bruce THURMOND (4) James M. WARNER

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

## 2. Name and Address of Party(ies) receiving an interest (assignee(s)):

Name: (1) The Washington University  
Address: One Brookings Drive

AND

Name: (2) G. D. Searle & Company  
Address: P.O. Box 5110

City: St. Louis  
State: Missouri Zip: 63130  
Country: U.S.A.

City: Chicago  
State: Illinois Zip: 60680-9899  
Country: U.S.A.

Additional name(s) & address(es) attached? ☐ yes ☒ no

## 3. Nature of Conveyance:

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

Execution Date: November 9, 1998; November 18, 1998; November 11, 1998; and November 19, 1998, respectively

## 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: \_\_\_\_\_

## A. Patent Application No(s).

08/902,614

## B. Patent No(s).

Others on additional sheet(s) attached? ☐ Yes ☒ No

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

Senniger, Powers, Leavitt & Roedel  
One Metropolitan Square  
16th Floor  
St. Louis, Missouri 63102  
(314) 231-5400 (telephone)

6. Total number of applications and patents involved:  
Application(s) 1 + Patent(s): 0 = Total 17. Total Fee (37 CFR 3.41) ..... \$ 40.00

- ☒ Enclosed  
☐ Authorized to be charged to deposit account

8. Deposit Account Number: 19-1345

(Duplicate copy of this sheet attached)

- ☒ Charge any underpayment or credit any overpayment to above 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.

Charles E. Cohen

Name of Person Signing

*Charles E. Cohen*

Signature

*Nov. 30, 1998*

Date

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

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## ASSIGNMENT

**WHEREAS, We,** Karen L. Wooley of St. Louis, Missouri, K. Bruce Thurmond, II of St. Louis, Missouri, Haiyong Huang of St. Louis, Missouri, and James M. Warner of Webster Groves, Missouri have invented an improvement in PARTICLES COMPRISING AMPHIPHILIC COPOLYMERS, HAVING A CROSSLINKED SHELL DOMAIN AND AN INTERIOR CORE DOMAIN, USEFUL FOR PHARMACEUTICAL AND OTHER APPLICATIONS (file SRL 6050) and have executed an application for a United States patent based thereon, Serial No. 08/902,614, filed June 27, 1997.

**WHEREAS,** The Washington University of St. Louis, Missouri, a corporation of the State of Missouri (hereinafter referred to as Washington University), is desirous of acquiring certain rights thereunder;

**AND, WHEREAS,** G. D. Searle & Company of Chicago, Illinois, a corporation of the State of Delaware (hereinafter referred to as G. D. Searle & Company) is desirous of acquiring certain rights thereunder;

**NOW, THEREFORE,** for one dollar and other good and valuable consideration, receipt of all of which is hereby acknowledged:

We, Karen L. Wooley, K. Bruce Thurmond, II and Haiyong Huang, have agreed to and do hereby sell, assign and transfer unto said Washington University our entire right, title and interest in and throughout the United States of America (including its territories and dependencies) and all countries foreign thereto in and to said invention, said United States application, any other United States applications (including

divisional, continuing or reissue applications) based in whole or in part on said United States application or in whole or in part on said invention, any foreign applications based in whole or in part on any of the aforesaid United States application or in whole or in part on said invention, and any and all patents (including extensions thereof) of any country which have been or may be granted on any of the aforesaid applications or on said invention or any part thereof;

I, James M. Warner, have agreed to and do hereby sell, assign, and transfer unto said G. D. Searle & Company my entire right, title, and interest in and throughout the United States of America (including its territories and dependencies) and all countries foreign thereto in and to said invention, said United States application, any other United States applications (including divisional, continuing or reissue applications) based in whole or in part on said United States application or in whole or in part on said invention, any foreign applications based in whole or in part on any of the aforesaid United States applications or in whole or in part on said invention, and any and all patents (including extensions thereof) of any country which have been or may be granted on any of the aforesaid applications or on said invention or any part thereof; and

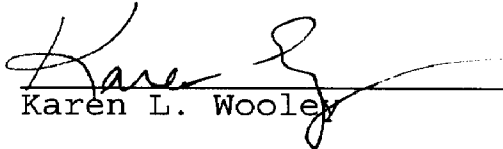
**TO BE HELD AND ENJOYED** by said Washington University, its successors and assigns, and said G. D. Searle & Company, its successors and assigns, respectively, as fully and entirely as the same would have been held and enjoyed by us had no sale and assignment of said interest been made;

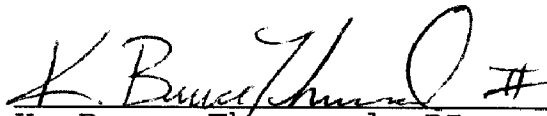
**AND We** hereby authorize and request the Commissioner of Patents of the United States of America to issue any and all United States patents which may be granted upon said United States applications or any of them, or upon said invention or any part thereof, to said Washington University and said G. D. Searle & Company;

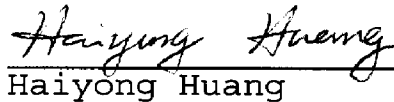
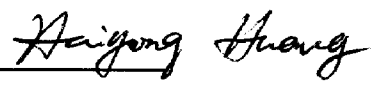
**AND We** hereby jointly and severally agree for ourselves and for our respective heirs, executors and administrators, to execute without further consideration any further lawful documents and any further assurances, and any divisional, continuing, reissue, or other applications for patents of any country, that may be deemed necessary by said Washington University or said G. D. Searle & Company fully to secure to said Washington University and said G. D. Searle & Company their respective interests as aforesaid in and to said invention or any part thereof, and in and to said several patents or any of them;

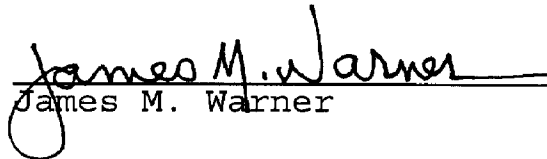
**AND We** hereby jointly and severally covenant for ourselves and our respective legal representatives that we have granted no right or license to make, use or sell said invention, to anyone except said Washington University and said G. D. Searle & Company, that prior to the execution of this deed our right, title and interest in said invention had not been otherwise encumbered, and that we have not executed and will not execute any instrument in conflict herewith.

IN WITNESS WHEREOF, we have hereunto set our hands.

  
Karen L. Wooley

  
K. Bruce Thurmond, II

   
Haiyong Huang


  
James M. Warner

ACKNOWLEDGEMENT

STATE OF MISSOURI )  
COUNTY OF ST. LOUIS )

On this 9th day of NOVEMBER, 1998,  
before me, Betty E. Smith, a Notary Public, personally  
appeared Karen L. Wooley to me known to be the person described  
in and who executed the foregoing assignment and acknowledged  
that he executed same as his free act and deed.

IN TESTIMONY WHEREOF, I have hereunto set my hand and  
seal the date and year last above written.

  
Notary Public

My Commission Expires:

BETTY E. SMITH  
NOTARY PUBLIC - STATE OF MISSOURI  
ST. LOUIS COUNTY  
MY COMMISSION EXPIRES APRIL 8, 1999

ACKNOWLEDGEMENT

STATE OF MISSOURI )

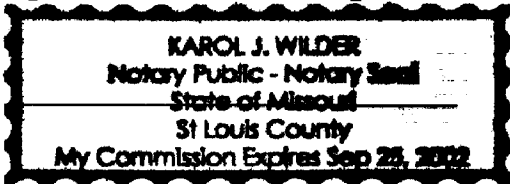
COUNTY OF ST. LOUIS )

On this 18th day of November, 1998,  
before me, ~~K. Bruce Thurmond, II~~ Karol J. Wilder, a Notary Public, personally  
appeared K. Bruce Thurmond, II to me known to be the person  
described in and who executed the foregoing assignment and  
acknowledged that he executed same as his free act and deed.

IN TESTIMONY WHEREOF, I have hereunto set my hand and  
seal the date and year last above written.

Karol J. Wilder  
Notary Public

My Commission Expires:



ACKNOWLEDGEMENT

STATE OF New Jersey )

COUNTY OF Somerset )

On this 11th day of November, 1998,  
before me, ~~Hai Joan Stryker~~ Hai Joan Stryker, a Notary Public, personally  
appeared Haiyong Huang to me known to be the person described in  
and who executed the foregoing assignment and acknowledged that  
he executed same as his free act and deed.

IN TESTIMONY WHEREOF, I have hereunto set my hand and  
seal the date and year last above written.

Joan J. Stryker  
Notary Public

My Commission Expires:

Sept. 20, 1999

**JOAN J. STRYKER**  
Notary Public of New Jersey  
My Commission Expires Sept. 20, 1999

ACKNOWLEDGEMENT

STATE OF MISSOURI )

COUNTY OF ST. LOUIS )

On this 19<sup>th</sup> day of November, 1998,  
before me, Karol J. Wilder, a Notary Public, personally  
appeared James M. Warner to me known to be the person described  
in and who executed the foregoing assignment and acknowledged  
that he executed same as his free act and deed.

IN TESTIMONY WHEREOF, I have hereunto set my hand and  
seal the date and year last above written.

Karol J. Wilder  
Notary Public

My Commission Expires:

