

12-14-98

12-22-1998

FORM PTO-1595
(Rev. 6-93)
OMB No. 0651-0011 (EXP.4/94)

REI



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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 documents or copy thereof.

1. Name of conveying party(ies):
THE BOARD OF REGENTS
UNIVERSITY OF TEXAS SYSTEM

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

3. Nature of Conveyance:

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

Execution Date: December 2, 1998

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

Name: WILLIAM J. KOKOLUS

Internal Address:

Street Address: 285 VICTORIA BLVD.

City: KENMORE State: NY Zip: 14217

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

4. Application number(s) or patent number(s):

If this document is being filed with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s) 5,807,978

Additional numbers attached? ☐ Yes ☒ No

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

Name: MARIANNE FUIERER

Internal Address: LAW OFFICES OF HOWARD M. ELLIS

SUITE 104

Street Address: 200 JOHN JAME AUDUBON PARKWAY

City: AMHERST State: NY Zip: 14228

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:

(Attach duplicat 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.

MARIANNE FUIERER

Name of Person Signing

Marianne Fuierer
Signature

12/10/98
Date

Total number of pages including cover sheet, attachments and document: 7

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

PATENT
REEL: 9638 FRAME: 0555

Name and Address of receiving party(ies):

Name: HERBERT A. FRITSCHÉ

Internal Address: _____

Street Address: 4506 FRONTIER

City: HOUSTON **State:** TX **Zip:** 77041

Name: DENNIS A. JOHNSTON

Internal Address: _____

Street Address: 2010 RAMADA DRIVE

City: HOUSTON **State:** TX **Zip:** 77062

ASSIGNMENT AGREEMENT

IN THIS AGREEMENT, made and entered into as of the 14TH day of September, 1998 ("Effective Date"), by the Board of Regents, of The University of Texas System, having offices at 201 West Seventh Street, Austin, Texas 78701 (the "Board of Regents"), and William J. Kokolus, residing at 285 Victoria Blvd., Kenmore, NY 14217-2214, Herbert A. Fritsche, residing at 4506 Frontier, Houston, TX 77041, and Dennis A. Johnston, residing at 2010 Ramada Drive, Houston, TX 77062, ("Inventors"), agree as follows:

1. The Board of Regents represents and warrants that it owns all right, title and interest in and to U.S. Application Serial No. 08/472,228, UTMDACC:388, (the "Patent"), discovered by the inventors, the invention disclosed and claimed therein, and all reissue and reexamination applications that rely on the application giving rise to the Patent for priority ("the Patents").
2. The Board of Regents released all of its right, title, and interest in the Patent to the Inventors as evidenced by Attachment B. The release was subject to the further condition that, in the event of the commercialization of the invention, twenty-five percent (25%) of any royalties or other income that the Inventors receive from such commercialization will be paid to MDACC by them after the total income received collectively due to any commercialization reaches \$50,000; and without further conditions. Pursuant to state law and the Regents' Rules and Regulations, neither the time, the facilities nor the resources of MDACC may be used for research, development or commercialization of the inventions herein released without prior written permission from the component institution's chief administrative officer and the appropriate Executive Vice Chancellor or Vice Chancellor (Regents' Rules and Regulations, Chapter XII, Section 2.8).
3. The Board of Regents hereby transfers, grants, conveys, assigns, and relinquishes exclusively to Inventors all of the Board of Regents' right, title, and interest in and to the Patents and the inventions claimed therein in perpetuity.
4. Inventors shall have no further rights, obligations, or duties to the Board of Regents with respect to the manufacture, sale, import, or use of any product or process covered by any of the present or future claims of any of the Patents. Further, Inventors are solely responsible for all legal fees and expenses incurred after the Effective Date.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement under seal of the day and year first above written.

The Board of Regents
The University Of Texas System

William J. Kokolus

By: [Signature]
Name: Ray Farabee
Title: Vice Chancellor and General Counsel
Date: 9/14/98

By: [Signature]
Name: William J. Kokolus
Title: President Rainbow-Lighting Extn
Date: 10/20/98

Herbert A. Fritsche

Dennis A. Johnston

By: [Signature]
Name: HA FRITSCHE
Title: Assoc Prof
Date: 9/15/98

By: [Signature]
Name: Dennis A. Johnston
Title: Professor
Date: 9/22/98

ASSIGNMENT

WHEREAS, the Board of Regents of The University of Texas System, having a place of business at 201 West Seventh Street, Austin, Texas, 78701 (hereinafter referred to as "the Board of Regents"), owns, by assignment, all right, title and interest in U.S. Application Serial No. 08/472,228 (UTMDACC:388), entitled "Immunogenic Peptides Of Prostate Specific Antigen" and any invention claimed therein; and

WHEREAS, Dr. W.J. Kokolus, Dr. H.A. Fritsche and Dr. D.A. Johnston, are the named inventors of this application (hereinafter referred to as "Inventors"), and the Board of Regents released its entire right, title and interest in and to the invention, in all countries throughout the world, and in and to United States Application Serial No. 08/472,228 to the Inventors on April 20, 1998.

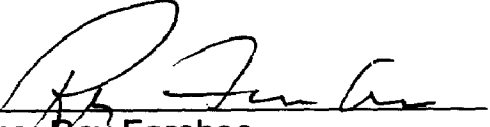
NOW THEREFORE, be it known that, for good and valuable consideration, receipt of which is hereby acknowledged, the Board of Regents hereby sells, assigns, transfers and sets over to Inventors, their lawful successors and assigns, the Board of Regents' entire right, title, and interest in and to U.S. Application Serial No. 08/472,228, the invention claimed therein, and in and to any division, continuation or continuation-in-part, and all Letters Patent and reissues, reexaminations and extension thereof, of the United States of America and countries foreign thereto including the right to apply for letters patent in foreign countries in their own name and to claim any priority rights for such foreign applications to which such applications are entitled under international convention, treaties, or otherwise, which have been or may be granted on any of the foregoing and all rights to claim priority on the basis of such application. The Board of Regents hereby authorizes and requests the Commissioner of Patents and Trademarks of the United States to issue all Letters Patent for this invention to Inventors, their successors and assigns, in accordance with the terms of this Assignment. The grant made hereby is subject to the provisions of the Assignment Agreement executed by the Board of Regents concurrently with this Assignment;

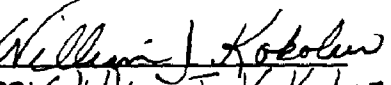
AND, THE BOARD OF REGENTS HEREBY further represents, warrants and covenants that the Board of Regents has the full right to convey the interest assigned by this Assignment, the Board of Regents will take all reasonable action and execute all reasonable documents necessary to perfect the interest assigned hereby, and the Board of Regents has not executed and will not execute any agreement in conflict with this Agreement.

IN TESTIMONY WHEREOF, each party has caused its authorized representative to execute this Assignment. This Assignment supercedes any previously executed Assignments.

The Board of Regents
The University Of Texas System

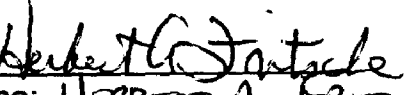
William J. Kokolus


By: 
Name: Ray Farabee
Title: Vice Chancellor and General Counsel
Date: December 2, 1998

By: 
Name: William J. Kokolus
Title: President, Rainbow-Lighting Etc.
Date: 10/26/98

Herbert A. Fritsche

Dennis A. Johnston

By: 
Name: HERBERT A. FRITSCHE
Title: Assoc Prof
Date: 11/23/98

By: 
Name: Dennis A. Johnston
Title: Professor
Date: 11/24/98