

05-18-1999

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Docket No. 217/226

To the Honorable Commissioner of Patents and Trademarks

101039151

1. Name of conveying party(ies):

Jasenska Matulic-Adamic Nassim Usman
Leonid Beigelman Anthony DiRenzo
Alex Karpeisky Francine Wincott
Thale Jarvis

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and address of receiving party:

Name: Ribozyme Pharmaceuticals, Inc.Street Address: 2950 Wilderness PlaceCity: Boulder State: COZip: 80301

RECEIVED

MAY 3 1999

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ OtherExecution Date: 6 November 1998Additional 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). 08/632,882

B. Patent No(s).:

Additional numbers attached? ☐ Yes ☒ No

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

Name: Richard J. Warburg

Internal Address: LYON & LYON LLP
633 West Fifth Street, Suite 4700
Los Angeles, CA 90071-2066

6. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41): \$ 40.00☒ Enclosed☒ Charge this Deposit Account if any additional fee is required8. Deposit Account Number: 12-2475

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.

Wesley B. Ames
Wesley B. Ames, Reg. No. 40,893

Date: April 30, 1999Total number of pages including cover sheet: 10

OMB No. 0651-0011 (exp. 4/94)

Do not detach this portion

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

Commissioner of Patents and Trademarks

Box Assignments

Washington, D.C. 20231

05/17/1999 DMSUYEN 00000234 00632882

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Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of Information Systems, PK2-1000C, Washington, D.C. 20231, and to the Office of Management and Budget, Paperwork Reduction Project, (0651-0011), Washington, D.C. 20503

ASSIGNMENT

WHEREAS, WE, **JASENKA MATULIC-ADAMIC**, a citizen of **CROCIA**; **LEONID BEIGELMAN**, a citizen of **UNITED STATES OF AMERICA**; **ALEXANDER KARPEISKY**, a citizen of **RUSSIA**; **THALE JARVIS**, a citizen of **UNITED STATES OF AMERICA**; **NASSIM USMAN**, a citizen of **CANADA**; **ANTHONY DIRENZO**, a citizen of **UNITED STATES OF AMERICA**; and **FRANCINE WINCOTT**, a citizen of **UNITED STATES OF AMERICA** (hereinafter referred to as "ASSIGNORS"), have invented and own a certain invention entitled **ENZYMATIC NUCLEIC ACIDS CONTAINING 5'-AND/OR 3'-CAP STRUCTURES** for which application for Letters Patent of the United States of America has been filed on **April 16, 1996**, assigned Serial No. **08/632,882**; and

WHEREAS, **RIBOZYME PHARMACEUTICALS, INC.**, a corporation organized and existing under and by virtue of the laws of the State of Delaware and having its principal place of business at **2950 Wilderness Place, Boulder, Colorado 80301** (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said invention and in, to and under any Patent or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign, transfer and set over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said invention and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto to be obtained for said invention by said application, and to any continuation, division, renewal, substitute or reissue thereof or any legal

equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention; and ASSIGNORS hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent or any legal equivalent thereof to said ASSIGNEE, its successors and assigns, in accordance with this Assignment.

ASSIGNORS hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this Agreement;

ASSIGNORS further covenant that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNORS and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents in the United States or in any foreign country, which may be necessary or desirable to carry out the purposes thereof.

WITNESS my hand at _____

this _____ day of _____, 199 .

Jasenka Matulic-Adamic

STATE OF _____)
) ss
COUNTY OF _____)

On _____ before me, _____, personally appeared
Jasenka Matulic-Adamic

☐ personally known to me - **OR** - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Notary Public in and for said County and State

WITNESS my hand at _____,
this _____ day of _____, 199_____.

Leonid Beigelman

STATE OF _____)
) ss
COUNTY OF _____)

On _____ before me, _____, personally appeared
Leonid Beigelman

☐ personally known to me - **OR** - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Notary Public in and for said County and State

WITNESS my hand at _____

this _____ day of _____, 199

Alexander Karpeisky

STATE OF _____)
) ss
COUNTY OF _____)

On _____ before me, _____, personally appeared
Alexander Karpeisky

☐ personally known to me - **OR** - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Notary Public in and for said County and State

WITNESS my hand at _____,

this _____ day of _____, 199__.

Thale Jarvis

STATE OF _____)
) ss
COUNTY OF _____)

On _____ before me, _____, personally appeared
Thale Jarvis

☐ personally known to me - **OR** - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Notary Public in and for said County and State

WITNESS my hand at _____

this _____ day of _____, 199

Nassim Usman

STATE OF _____)
) ss
COUNTY OF _____)

On _____ before me, _____, personally appeared
Nassim Usman

☐ personally known to me - **OR** - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Notary Public in and for said County and State

WITNESS my hand at Boulder Colorado
this 6 day of November, 1998.

Anthony DiRenzo
Anthony DiRenzo

STATE OF Colorado)
COUNTY OF Boulder) ss

On Nov 6 before me, Anthony DiRenzo, personally appeared
Anthony DiRenzo

☒ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Michelle D. Highfill
Notary Public in and for said County and State

WITNESS my hand at _____.

this _____ day of _____, 199_____

Francine Wincott

STATE OF _____)
) ss
COUNTY OF _____)

On _____ before me, _____, personally appeared
Francine Wincott

☐ personally known to me - **OR** - ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Notary Public in and for said County and State

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:

Jasenska Matulic-Adamic et al.

Serial No. 08/632,882

Filed: April 16, 1996

**For: ENZYMATIC NUCLEIC ACIDS
CONTAINING 5'- AND/OR 3'-CAP
STRUCTURES**

Group Art Unit: 1635

Examiner: Larson, T.

Request for Correction

U.S. Patent and Trademark Office
Assignment Division
Box Assignments, CT-4
1213 Jefferson Davis Highway, Suite 320
Washington, D.C. 20231

Sir/Madam:

Applicant submitted the enclosed Assignment by inventor DiRenzo to the Patent Office for recordation on December 4, 1998. On April 8, 1999, Applicant received the Notice of Recordation of Assignment Document from the Patent Office along with the original Recordation Form Cover Sheet and Assignment. However, at that time, Applicant noticed that

CERTIFICATE OF MAILING
(37 C.F.R. §1.8a)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

April 30, 1999
Date of Deposit

Stephanie Sharrett

Name of Person Mailing Paper

Stephanie Sharrett
Signature of Person Mailing Paper

SD-111851.1


PATENT
REEL: 009947 FRAME: 0536

the wrong Recordation Form Cover Sheet had been submitted in error; and, therefore, incorrect information was listed on the Notice of Recordation of Assignment Document.

Therefore, Applicant respectfully requests the Examiner to record the enclosed Assignment signed by inventor Anthony DiRenzo with a corrected Recordation Form Cover Sheet which is to replace the document recorded December 4, 1998 as Reel No. 9641, Frame No. 0375.

Respectfully submitted,
LYON & LYON

Dated: April 30, 1999

BY 
Wesley B. Ames
Reg. No. 40,893

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633 West Fifth Street, 47th Floor
Los Angeles, CA 90071-2066
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