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Practitioner's Docket No. U 012257-7



DP  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Assignments  
Commissioner of Patents and Trademarks  
Washington, D.C. 20231

09-13-1999



101143604

NOTE: "Documents and cover sheets to be recorded should be addressed to Assistant Commissioner for Patents, Box Assignments, Washington, D.C. 20231, unless they are filed together with new applications or with a petition under § 3.81(b)." 37 C.F.R. § 3.27.

ASSIGNMENT (DOCUMENT) COVER SHEET (37 C.F.R. § 3.31)

NOTE: "A cover sheet may not refer to both patents and trademarks." 37 C.F.R. § 3.31(b).

Attached please find an assignment (document) for recordal.

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\*  
(When using Express Mail, the Express Mail label number is **mandatory**;  
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

37 C.F.R. § 1.8(a)

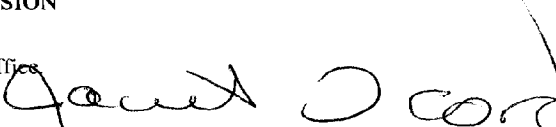
37 C.F.R. § 1.10\*

☒ with sufficient postage as first class mail.

☐ as "Express Mail Post Office to Addressee"  
Mailing Label No. \_\_\_\_\_ (mandatory)

TRANSMISSION

☐ transmitted by facsimile to the Patent and Trademark Office

  
Signature

Date: September 7, 1999

Janet I. Cord  
(type or print name of person certifying)

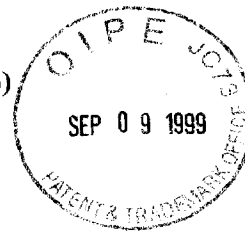
\*WARNING: Each paper or fee filed by "Express Mail" **must** have the number of the "Express Mail" mailing label placed thereon prior to mailing, 37 C.F.R. § 1.10(b).  
"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

09/13/1999 MTHAI1 00000034 09339759  
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(Assignment (Document) Cover Sheet—page 1 of 6) 16-6

PATENT  
REEL: 010221 FRAME: 0987

IDENTIFICATION OF APPLICATION(S) AND/OR PATENT(S)  
FOR ASSIGNMENT (DOCUMENT) RECORDAL  
(37 C.F.R. § 3.21 and 37 C.F.R. § 3.31(a)(4))



NOTE: See 37 C.F.R. §3.21.

NOTE: § 3.21 does not apply to documents other than assignment. Notice of June 24, 1992 (1140 O.G. 63-72 at 67).

1. This assignment is for the following patent application and/or issued patent:

National application: SN: 09/339,759

filed on June 24, 1999

Provisional application:

filed on

International application: PCT

Patent No:

Issued:

(complete if applicable) which was previously assigned and recorded

Date \_\_\_\_\_

Reel \_\_\_\_\_

Frame \_\_\_\_\_

NOTE: If an assignment of a patent application filed under § 1.53(b) is executed concurrently with, or subsequent to, the execution of the patent application, but before the patent application is filed, it must identify the patent application by its date of execution, name of each inventor, and title of the invention so that there can be no mistake as to the patent application intended. If an assignment of a provisional application under § 1.53(c) is executed before the provisional application is filed, it must identify the provisional application by name of each inventor and title of the invention so that there can be no mistake as to the provisional application intended. 37 C.F.R. § 3.21.

(also complete the following, if applicable)

[ ] and also for the applications and/or patents  
shown on the attached list of FURTHER  
APPLICATION(S) and/or PATENT(S) BEING ASSIGNED

Number of pages added \_\_\_\_\_

NOTE: "Where there is a listing of properties contained within a document, any listing may be copied and attached to the cover sheet to reduce the amount of typing necessary. A notation of this attachment can be made in lieu of entering every property identification number on the cover sheet." Notice of June 24, 1992 (1140 O.G. 63-72 at 67).

TOTAL NUMBER OF APPLICATIONS AND/OR PATENTS  
AND TOTAL FEE

NOTE: All requests to record documents must be accompanied by the appropriate fee; a fee is required for each application or patent against which the document is recorded as identified in the cover sheet. The recording fee is set in § 1.21(h). 37 C.F.R. §3.41.

2. A. The total number of applications and/or patents identified in this cover sheet is 1

B. The total fee is (37 C.F.R. § 1.21(h)):

1  
Total number of applications  
and/or patents

x \$40.00 = \$ 40.00

(Assignment (Document) Cover Sheet—page 2 of 6) 16-6

- C. Payment of fee is made by:  
[x] the attached check for \$ 40.00.  
[ ] Please charge Account \_\_\_\_\_  
the sum of \$ \_\_\_\_\_.  
A duplicate of this cover sheet is attached.

Please charge Account 12-0425 for any fee deficiency or credit to account any overpayment.

**NAME OF PARTY(IES) CONVEYING INTEREST**  
(37 C.F.R. § 3.31(a)(1))

*NOTE* "The term 'party' as used in this rule [§ 3.31] means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate officer where a corporation's name appears on the documents." Notice of June 24, 1992 (1140 O.G. 63-72, at 65); M.P.E.P. § 302.07, 6th ed.

3. The party(ies) conveying interest is (are):

Name 1: Shakti N. UPADHYAY  
Name 2: Vikas MADAN  
Name 3:

**NAME AND ADDRESS OF PARTY(IES) RECEIVING INTEREST**  
(37 C.F.R. § 3.31 (a)(2))

4. The rights are being conveyed to:

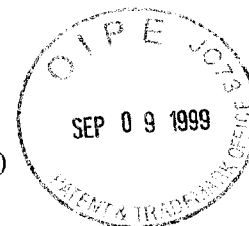
Name: National Institute of Immunology  
Address: Aruna Asaf Ali Marg  
New Delhi 110 067, INDIA

**DESCRIPTION OF INTEREST CONVEYED OR  
TRANSACTION RECORDED** (37 C.F.R. § 3.31 (a)(3))

5. The accompanying document intends to accomplish:

[x] an assignment.  
[ ] a security agreement.  
[ ] a merger.  
[ ] a license.  
[ ] a change of name.  
[ ] a change of address.  
[ ] other:

NAME AND ADDRESS OF PARTY TO WHOM  
CORRESPONDENCE SHOULD BE MAILED (37 C.F.R. § 3.31 (a)(5))



6. Please address correspondence to:

Name: Janet I. Cord, Esq.  
Address: c/o Ladas & Parry  
26 West 61<sup>st</sup> Street  
New York, New York 10023  
Telephone No.: (212) 708-1935

DATE ASSIGNMENT (DOCUMENT) EXECUTED  
(37 C.F.R. § 3.31(a)(7))

7. A. ☒ The attached assignment (document) was executed on August 19, 1999.  
Date

OR *If there is more than one conveying party who executed on different dates, indicate the date of execution of the assignment document for each conveying party.*

B. ☐ The attached assignment was executed by \_\_\_\_\_  
Name  
on \_\_\_\_\_ .  
Date

☐ The attached assignment was executed by \_\_\_\_\_  
Name  
on \_\_\_\_\_ .  
Date

☐ The attached assignment was executed by \_\_\_\_\_  
Name  
on \_\_\_\_\_ .  
Date

☐ The attached assignment was executed by \_\_\_\_\_  
Name  
on \_\_\_\_\_ .  
Date

☐ The attached assignment was executed by \_\_\_\_\_  
Name  
on \_\_\_\_\_ .  
Date

## LANGUAGE OF ASSIGNMENT (DOCUMENT) TO BE RECORDED

*NOTE: "The Office will accept and record non-English language documents only if accompanied by an English translation signed by the individual making the translation," 37 C.F.R. § 3.26.*

8. The attached document:

- ☒ is in the English language.  
☐ is not in the English language and an English translation signed by the individual making the translation is attached.

## ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED

*NOTE: See 37 C.F.R. § 3.24.*

9. Submitted herewith is:

- ☒ the original document.  
☐ a true copy of the original document, which I certify to be a true copy.

*NOTE: "If the original [assignment] document is two-sided or the wrong size, the practitioner can comply with the requirement [set out in 37 C.F.R. § 3.24] by providing a true copy of the original document using only one side of each page on the correct size paper." Notice of June 24, 1992, 1140 O.G. 63-76, at 67.*

*NOTE: "Certification shall be made by the person submitting a copy of an original document that the document submitted is a true copy of the original. The certification is not required to be in an oath or declaration form." M.P.E.P., 6th ed., § 302.01.*

## ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF ADDRESS

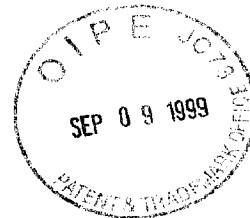
*(check item, if applicable)*

10. ☐ Because the purpose of the attached documents is to record a change of address of the assignee, the particulars of the previously recorded assignments for each application and/or patent are shown.

## ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF NAME

*(check item, if applicable)*

11. ☐ Because the purpose of the attached documents is to record a change of name of the assignee, the particulars of the previously recorded assignments for each application and/or patent are shown.



## CHANGE OF PATENT MAINTENANCE FEE ADDRESS

(check item, if applicable)

12. ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent to the Office separately.

### STATEMENT (37 C.F.R. § 3.31(a)(9)) AND SIGNATURE (37 C.F.R. § 3.31(a)(10))

13. 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.

NOTE: "The term 'party' as used in this rule [§ 3.31] means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate officer where a corporation's name appears on the document." Notice of June 24, 1992, 1140 O.G. 63-76, at 65; M.P.E.P. § 302.07 6th ed.

Date: Sept. 7, 1999

\_\_\_\_\_  
Name of party submitting document

\_\_\_\_\_  
Signature of party submitting document

(complete the following, if the party submitting the document  
is applicant's attorney)

Janet I. Cord

\_\_\_\_\_  
SIGNATURE OF PRACTITIONER

Reg. No.: 33778

\_\_\_\_\_  
Janet I. Cord

(type or print name of practitioner)

Tel. No.: (212) 708-1935

\_\_\_\_\_  
P.O. Address

Customer No.:

\_\_\_\_\_  
c/o Ladas & Parry  
26 West 61<sup>st</sup> Street  
New York, N.Y. 10023

### TOTAL NUMBER OF PAGES BEING SUBMITTED

14. The total number of pages being submitted, including cover sheet attachment(s), and documents are:

9  
Total number of pages submitted

(Assignment (Document) Cover Sheet—page 6 of 6) 16-6



Practitioner's Docket No. U 012257-7

**PATENT**

For: ☐ U.S. and/or ☐ Foreign Rights  
For: ☒ U.S. Application or  
☐ U.S. Provisional Application  
For: ☐ U.S. Patent  
For: ☐ PCT Application  
By: Multiple Inventors

**ASSIGNMENT OF INVENTION (MULTIPLE INVENTORS)**

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

**ASSIGNORS (Inventors):**

Shakti N. Upadhyay  
(type or print name of inventors)

c/o National Institute of Immunology Indian  
Address Nationality  
Aruna Asaf Ali Marg, New Delhi 110067, India

Vikas Madan

c/o National Institute of Immunology Indian  
Aruna Asaf Ali Marg, New Delhi 110067, India

hereby sells, assigns and transfers to  
ASSIGNEE  
National Institute of Immunology  
(type or print name of ASSIGNEE)  
Indian  
Nationality

Aruna Asaf Ali Marg  
Address  
New Delhi 110067, India

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

☒ the entire right, title and interest  
☐ an undivided \_\_\_\_\_ percent ( \_\_\_\_\_ %) interest  
for the United States and its territorial possessions



(check the following box, if foreign rights are also to be assigned)

☐ and in all foreign countries, including all rights to claim priority,  
in and to any and all improvements which are disclosed in the invention entitled:  
METHOD FOR EX-VIVO EXPANSION OF HEMATOPOIETIC CELLS

Name of inventor(s) Shakti N. UPADHYAY and Vikas MADAN

(check and complete (a), (b), (c), (d), (e), (f) or (g))

and which is found in (37 C.F.R. § 3.21)

- (a) ☐ U.S. patent application executed on even date herewith  
(b) ☐ U.S. patent application executed on \_\_\_\_\_  
(c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention.  
    ☐ Express mail label no.: \_\_\_\_\_  
    Mailed: \_\_\_\_\_  
    ☐ To comply with 37 C.F.R. 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.  
(d) ☒ U.S. application no. 09/ 339,759 \_\_\_\_\_  
    filed on June 24, 1999  
(e) ☐ International application no. PCT/ \_\_\_\_\_ / \_\_\_\_\_  
(f) ☐ U.S. patent no. \_\_\_\_\_ issued \_\_\_\_\_  
    ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

(also check (g), if foreign application(s) is also being assigned)

- (g) ☐ and any legal equivalent thereof in a foreign country, including the right to claim priority

and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.



ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives 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 thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this (X) August 19, 1999  
Date of signing

**WARNING:** The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

Shakti N. UPADHYAY

(type name of Inventor)

(X)

Signature of INVENTOR

Vikas MADAN

(X)

*Vikas Madan*

[ ] Notarization or Legalization Page Added.

**NOTE:** No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.