

11-04-1999

COVER SHEET

D/H

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



101191954

DEPARTMENT OF COMMERCE
Patent and Trademark Office

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

1. Name of conveying party(ies):
(A) Vincent Brichard (B) Frederic A. Gorin
Aline van Pel
Thierry Boon-Falleur

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

3. Nature of conveyance:

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

Execution Dates: (A) Sept. 29, 1999; and Oct. 12 & 13, 1999
(B) July 13, 1999

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

Name: (A) Ludwig Institute for Cancer Research

(B) The Regents of the University of California

Street Address: (A) 605 Third Avenue
New York, NY 10158

(B) 1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200

Additional name(s) & addresses(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):
09/215,966

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

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

Name: John R. Van Amsterdam
Address: WOLF, GREENFIELD & SACKS, P.C.
Federal Reserve Plaza
600 Atlantic Avenue
Boston, MA 02210

6. Total number of applications and patents involved: **One**

7. Total fee (37 CFR 3.41) \$40.00

☒ Enclosed☐ Authorized to be charged to deposit account

The Commissioner is authorized to charge:

8. Deposit Account No. 23/2825

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.

John R. Van Amsterdam

October 28, 1999

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: **4**

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

11/03/1999 MTHA11 00000113 09215966

01 FC:581

40.00 OP

413826.1

ASSIGNMENT

In consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, we the undersigned Vincent Brichard, Aline van Pel, and Thierry Boon-Falleur hereby

Sell, assign and transfer to Ludwig Institute for Cancer Research, a Switzerland corporation having a place of business at 605 Third Avenue, New York, NY 10158, its successors, assigns and legal representatives, all hereinafter referred to as the Assignee, the entire right, title and interest for the United States and all foreign countries, in and to any and all inventions which are disclosed in the application for United States Letters Patent filed in the United States Patent and Trademark Office on December 18, 1998 under Serial No. 09/215,966 and entitled BRAIN GLYCOGEN PHOSPHORYLASE CANCER ANTIGEN, and in and to said application and all divisional, continuing, substitute, renewal, reissue and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said inventions; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority.

We agree that said Assignee may apply for and receive Letters Patent for said inventions in its own name; and when requested, without charge to but at the expense of said Assignee, we agree to carry out in good faith the intent and purpose of this assignment, by executing all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said inventions, by executing all rightful oaths, assignments, powers of attorney and other papers, by communicating to said Assignee all facts known to us relating to said inventions and the history thereof, and generally by doing everything possible which said Assignee shall consider desirable for aiding in securing and maintaining proper patent protection for said inventions and for vesting title to said inventions and all applications for patents and all patents on said inventions, in said Assignee.

We hereby request the Honorable Commissioner of Patents and Trademarks to issue said Letters Patent to said Assignee.

We covenant with said Assignee that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by us and that full right to convey the same as herein expressed is possessed by us.

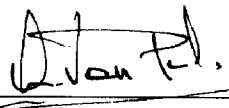
Dated: Sept 23, 1999


VINCENT BRICHARD

Dated: 29 Sept 1999

 N. Royner
WITNESS

Dated: 12 Oct 1999.


ALINE VAN PEL

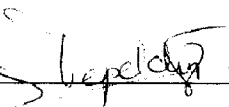
Dated: 12 Oct 1999

 DEPELCHIN S.
WITNESS

Dated: 13 Oct 1999.


THIERRY BOON-FALLEUR

Dated: 13 October 1999

 DEPELCHIN S.
WITNESS

ASSIGNMENT

U.C. Case No. 97-101-2

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Fredric A. Gorin

2.

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin Street, Twelfth Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

Brain Glycogen Phosphorylase Cancer Antigen

and which is found in

(a) _____ U.S. provisional application filed herewith and listing the above named persons as inventors

(b) _____ U.S. patent application filed herewith and listing the above named persons as inventors

(c) x U.S. application serial no. 09/215,966, filed on December 18, 1998

(d) _____ U.S. Patent No.: _____, issued _____

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, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) 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(S) 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 relating 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 or 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. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

13 day of July, 1999

Signature of Inventor(s)

Fredric A. Gorin