

11-12-1999

FORM PTO-1595
1-31-9211/9/99
Docket No. 227/004

NOV 09 1999

RECOF



101199394

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):

AXEL ULLRICH
NAOHITO AOKI

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

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

Execution Date: 29 APRIL 1998; 30 MAY 1998

Name and address of receiving party:

Name: MAX-PLANCK-GESELLSCHAFT ZUR FORDERUNG DER
WISSENSCHAFTEN E.V.Street Address Hofgarten-Strasse 2City: Munich State: _____ Country: Germany Zip: 80539Additional 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). 09/951,260

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. WarburgInternal Address: LYON & LYON LLP
633 West Fifth Street, Suite 4700
Los Angeles, CA 90071-20666. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41): \$ 40.00 E☒ 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.

Date: November 5, 1999

Charles S. Berkman, Reg No. 38,077

Total number of pages including cover sheet: 7

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

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

11/10/1999 NBERHE 00000081 08951260

02 FC:581

40.00 0P

SD-107283-1

PATENT
REEL: 010368 FRAME: 0537

ASSIGNMENT

For valuable consideration, we, Naohito Aoki of Munich, Germany and Axel Ullrich of München Germany hereby assign to Max-Planck-Gesellschaft Zur Forderung Der Wissenschaften E.V., a non-profit organization having a place of business at Hofgarten-Strasse 2, Munich Germany 80539, and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are the subject of an application for United States Patent filed on October 16, 1997, U.S. Serial No. 08/951,260, entitled PROTEIN TYROSINE PHOSPHATASE PTP20 AND RELATED PRODUCTS AND METHODS, this assignment including said application, any and all United States and foreign patents granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this Assignment.

227/004

Kindly recognize as associate attorney:

Roland N. Smoot, Reg. No. 18,718; Conrad R. Solum, Jr. Reg. No. 20,467; James W. Geriak, Reg. No. 20,233; Robert M. Taylor, Jr., Reg. No. 19,848; Samuel B. Stone, Reg. No. 19,297; Douglas E. Olson, Reg. No. 22,798; Robert E. Lyon, Reg. No. 24,171; Robert C. Weiss, Reg. No. 24,939; Richard E. Lyon, Jr., Reg. No. 26,300; John D. McConaghy, Reg. No. 26,773; William C. Steffin, Reg. No. 26,811; Coe A. Bloomberg, Reg. No. 26,605; J. Donald McCarthy, Reg. No. 25,119; John M. Benassi, Reg. No. 27,483; James H. Shalek, Reg. No. 29,749; Allan W. Jansen, Reg. No. 29,035; Robert W. Dickerson, Reg. No. 29,914; Roy L. Anderson, Reg. No. 30,240; David B. Murphy, Reg. No. 31,125; James C. Brooks, Reg. No. 29,898; Jeffrey M. Olson, Reg. No. 30,790; Steven D. Hemminger, Reg. No. 30,755; Jerrold B. Reilly, Reg. No. 32,293; Paul H. Meier, Reg. No. 32,274; John A. Rafter, Jr., Reg. No. 31,653; Kenneth H. Ohriner, Reg. No. 31,646; Mary S. Consalvi, Reg. No. 32,212; Bradford J. Duft, Reg. No. 32,219; Suzanne L. Biggs, Reg. No. 30,158; Steven M. Weiss, Reg. No. 37,534; Matthew W. Knight, Reg. No. 36,846; Richard J. Warburg, Reg. No. 32,327; F.T. Alexandra Mahaney, Reg. No. 37,668; Sheldon O. Heber, Reg. No. 38,179; Jeffrey W. Guise, Reg. No. 34,613; Charles S. Berkman, Reg. No. 38,077; Anthony C. Chen, Reg. No. 38,673; and Wesley B. Ames, Reg. No. 40,893 of LYON & LYON, 633 West Fifth Street, Suite 4700, Los Angeles, California 90071, telephone (619) 552-8400 and Darlene W. Hayes, Registration No. 33,899 and Christopher J. Smith, Registration No. 40,179 of Sugan, Inc., 351 Galveston Drive, Redwood City, California 94063.

Address all telephone calls to Richard J. Warburg, Esq. at telephone no. 619 552-8400.

Address all correspondence to Richard J. Warburg, Esq., LYON & LYON LLP, 633 West Fifth Street, Suite 4700, Los Angeles CA 90071.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patents issuing thereon.

Full name of first inventor Naohito Aoki
 Inventor's signature Naohito Aoki Date: May 30, 1998
 Residence Waldelust 3, 81377 Munich, Germany
 Citizenship GERMANY
 Post Office Address Waldelust 3, 81377 Munich, Germany

Full name of second inventor Axel Ullrich
 Inventor's signature _____ Date: _____
 Residence Türkenstrasse 104, 80799 München, Germany
 Citizenship Germany
 Post Office Address Türkenstrasse 104, 80799 München, Germany

227/004

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
this May day of 30, 1998.

Naohito Aoki
Naohito Aoki

State of _____ :

SS.

County of Japan :

Before me this _____ day of _____, 19____, personally appeared
Naohito Aoki known to me to be the person whose name is subscribed to the foregoing
Assignment and acknowledged that he executed the same as his free act and deed for the
purposes therein contained.

[Notary's
Seal Here]

Notary Public

My commission expires:

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
this _____ day of _____, 19____.

Axel Ullrich

State of _____ :

SS.

County of _____ :

Before me this _____ day of _____, 19____, personally appeared
Axel Ullrich known to me to be the person whose name is subscribed to the foregoing
Assignment and acknowledged that he executed the same as his free act and deed for the
purposes therein contained.

[Notary's
Seal Here]

Notary Public

My commission expires:

SSSD/70783. v01

Page 2 of 2

*** TOTAL PAGE. 07 ***

'98 05/30 SAT 03:06 [受付番号 5892] 007

MAY 29 '98 18:58

0527894128 PAGE. 03

PATENT

REEL: 010368 FRAME: 0540

ASSIGNMENT

For valuable consideration, we, Naohito Aoki of Munich, Germany and Axel Ullrich of München Germany hereby assign to Max-Planck-Gesellschaft Zur Forderung Der Wissenschaften E.V., a non-profit organization having a place of business at Hofgarten-Strasse 2, Munich Germany 80539, and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are the subject of an application for United States Patent filed on October 16, 1997, U.S. Serial No. 08/951,260, entitled PROTEIN TYROSINE PHOSPHATASE PTP20 AND RELATED PRODUCTS AND METHODS, this assignment including said application, any and all United States and foreign patents granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this Assignment.

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
this ____ day of _____, 19____.

Naohito Aoki

State of _____ :

ss.

County of _____ :

Before me this ____ day of _____, 19____, personally appeared
Naohito Aoki known to me to be the person whose name is subscribed to the foregoing
Assignment and acknowledged that he executed the same as his free act and deed for the
purposes therein contained.

[Notary's
Seal Here]

Notary Public

My commission expires:

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
this 29th day of April, 1998.

Axel Ullrich
Axel Ullrich

State of Germany :

ss.

County of Münche :

Before me this ____ day of _____, 19____, personally appeared
Axel Ullrich known to me to be the person whose name is subscribed to the foregoing
Assignment and acknowledged that he executed the same as his free act and deed for the
purposes therein contained.

[Notary's
Seal Here]

Notary Public

My commission expires:

1486

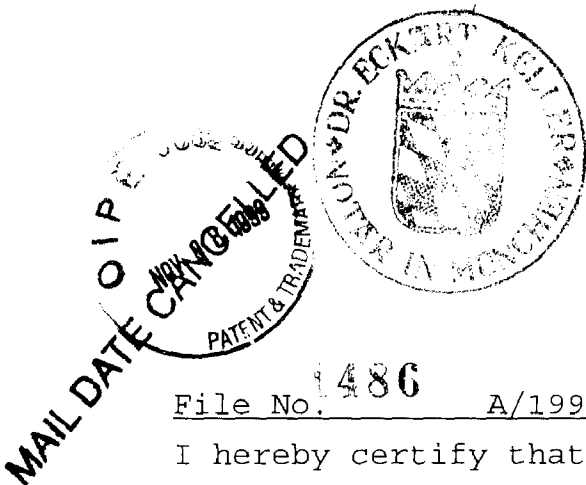
URNr. A/1998

Ich beglaube die Echtheit der vorstehenden,
vor mir vollzogenen Unterschrift von

Herrn Prof. Dr. Axel U l l r i c h ,
geb. am 19.10.1943,
wohnhaft Türkenstr. 104, 80799 München,

ausgewiesen durch seinen Reisepaß.

München, den 29. April 1998



Notar

File No. 1486 A/1998

I hereby certify that the above is the true signatu-
re\$, subscribed in my presence, of

Mr. Prof. Dr. Axel U l l r i c h ,
born 19th of October 1943,
of Türkenstr. 104, 80799 Munich,

identified by his passport\$.

Munich, the 29th of April 1998

Notary