

04-04-2000

U.S. Department of Commerce
Patent and Trademark Office
PATENT



101305492

REC'D
FEB 15 AM 11:20

OPR/FINANCE

**RECORDATION FORM COVER SHEET
PATENTS ONLY**

2-15-00

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

☒ New
☐ Resubmission (Non-Recordation)
Document ID#
☐ Correction of PTO Error
Reel # Frame #
☐ Corrective Document
Reel # Frame #

Conveyance Type

☒ Assignment ☐ Security Agreement
☐ License ☐ Change of Name
☐ Merger ☐ Other
U.S. Government
(For Use ONLY by U.S. Government Agencies)
☐ Departmental File ☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Name (line 1) Univ. of Kentucky Research Foundation

Execution Date
Month Day Year
02 02 2000

Name (line 2) a corporation of Kentucky

Second Party

Name (line 1)

Execution Date
Month Day Year

Name (line 2)

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1) Targacept, Inc.

Name (line 2) a corporation of Delaware

Address (line 1) P. O. Box 1487

Address (line 2)

Address (line 3) Winston-Salem NC/USA 27102-1487
City State/Country Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name Borschke, August J.

Address (line 1)

Address (line 2)

Address (line 3) P. O. Box 1487

Address (line 4) Winston-Salem, NC 27102-1487

FOR OFFICE USE ONLY

04/04/2000 TTOM11 00000026 181102 09210113

01 FC:581 40.00 CH

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:

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

PATENT

REEL: 010645 FRAME: 0500

Correspondent Name and Address

Area Code and Telephone Number (336) 741-5491

Name August J. Borschke, Esq.

Address (line 1)

Address (line 2)

Address (line 3) P. O. Box 1487

Address (line 4) Winston-Salem, NC 27102-1487

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

2

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

09/210,113

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

Patent Cooperation Treaty (PCT)

Enter PCT application number
only if a U.S. Application Number
has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

Number of Properties

Enter the total number of properties involved.

#

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$ 40.00

Method of Payment:
Deposit Account

Enclosed ☐

Deposit Account ☒

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

18-1102

Authorization to charge additional fees:

Yes

☒

No

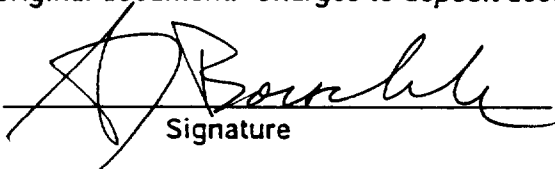
☐

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. Charges to deposit account are authorized, as indicated herein.

August J. Borschke

Name of Person Signing



Signature

February 10, 2000

Date

ASSIGNMENT

WHEREAS, the **UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION**, a corporation of the State of **KENTUCKY** having its principal place of business at **Lexington** in the County of **Fayette** and State of **Kentucky**, is the assignee of United States Patent Application Serial No. **09/210,113**; filed **December 11, 1998**; having all rights, title and interest to said invention and patent application by Assignment recorded in the United States Patent Office on **July 30, 1999** on **Reel 010245** and **Frame 0459**.

NOW, THEREFORE, to all whom it may concern, be it known that the **UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION**, hereby sells, assigns and transfers for good and valuable consideration the receipt of which is hereby acknowledged to **TARGACEPT, INC.** a corporation of the State of **DELAWARE** having a place of business at **WINSTON-SALEM** in the County of **FORSYTH** and State of **NORTH CAROLINA** its successors, assigns and legal representatives, its entire right, title and interest for all countries, in and to the invention disclosed and claimed, and as possessed by the undersigned, any invention which is disclosed but not claimed, in United States Patent Application Serial No. **09/210,113** filed **December 11, 1998**; and entitled **PHARMACEUTICAL COMPOSITIONS AND METHODS FOR USE** 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 on any of said inventions disclosed in said application; and in and to all original and reissued patents which have been or shall be issued on said inventions;

Authorize and request the Commissioner of Patents and Trademarks to issue to the Assignees, the corporations above named, their successors, assigns and legal representatives, in accordance with this agreement, any and all United States Letters Patent on said inventions disclosed in said application;

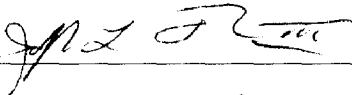
Agree that said Assignees may apply for and receive foreign Letters Patent for said inventions; and may claim, in applications for said foreign Letters Patent, the priority of the aforesaid United States application under the provisions of the International Convention; and that, when requested, without charge to but at the expense of said Assignees, their successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this assignment, the undersigned will, for the United States and all foreign countries, execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said inventions; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignees, their successors, assigns, and representatives, all facts known

to the undersigned relating to said inventions and the history thereof; testify in all legal proceedings; and generally do everything possible which said Assignees, their successors, assigns or representatives shall consider desirable for aiding in securing, maintaining and enforcing proper protection for said inventions and for vesting title to said inventions and all applications for patents and all patents on said inventions, in said Assignees, their successors, assigns and legal representatives; and

COVENANT with said Assignees, their successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

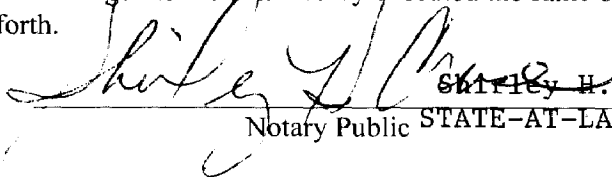
IN WITNESS WHEREOF, the UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION has caused its corporate name to be hereunto subscribed by an officer of the corporation, and its seal to be hereunto affixed this 2nd day of February, 2000.

UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION

By: 
Name: Joseph L. Fink, III
Title: Special Assistant to Executive Director

STATE OF KENTUCKY)
COUNTY OF SCOTT) SS.

Before me this 2nd day of February, 2000 personally appeared Joseph L. Fink, III, to me personally known to be the person(s) who is/are described in and who executed the above instrument, and he/they acknowledged to me that he/they executed the same of his/their own free will for the purposes therein set forth.


Shirley H. Cruse
Notary Public STATE-AT-LARGE

My Commission Expires April 10, 2000