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PATENTS

Case Docket No. 013701.0002

RECEIVED
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ORIGINANCE

To the Assistant Commissioner for Patents: Please record the attached original documents or copy them.

1. Name of conveying party(ies):
UNIVERSITY OF KANSAS, THE
2. Name and Address of receiving party(ies):
Name: CyDex, Inc.
Name: a corporation of the State of Kansas
Street Address: 12980 Metcalf Ave., Suite 470
City: Overland Park State: Kansas Zip: 66213
3. Nature of conveyance:
☒ Assignment ☐ Change of Name
☐ Security Agreement ☐ Merger
☐ Other

Execution Date: March 8, 2000

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). B. Patent No(s).
09/229,513

5. Name and address of party to whom correspondence concerning document should be mailed:
Name: Rick Matos
Street Address: Innovar, L.L.C.
P.O. Box 250647
City: Plano State: Texas Zip: 75025-0647

6. Total number of applications and patents involved: 1
7. Total fee (37 C.F.R. 3.41) \$ 40.00
☒ Enclosed
☐ Authorized to be charged to deposit account

8. Deposit account number: _____
(Attach duplicate copy of this form if paying by deposit account.)

9. 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.

Rick Matos (Reg. 40,082)
Name of Person Signing

Signature

3/31/02
Date

Total number of pages including cover sheet, attachments and document: 3

PATENT
REEL: 010735 FRAME: 0960

ASSIGNMENT

WHEREAS, the undersigned, James Roberts, Associate Vice Chancellor, is authorized to act on behalf of the University of Kansas (hereinafter referred to as "ASSIGNOR"), having a place of business at 2385 Irving Hill Dr., Lawrence, KS 66044;

WHEREAS, Valentino J. Stella, Roger A. Rajewski, Venkatramana M. Rao, James McGinity, and Gerold Mosher, have jointly made an invention entitled "SULFOALKYL ETHER CYCLODEXTRIN BASED CONTROLLED RELEASE SOLID PHARMACEUTICAL FORMULATIONS" for which they have filed an application for United States Letters Patent:

Filed: January 13, 1999

Serial No. 09/229,513

and for which Valentino J. Stella, Roger A. Rajewski, and Venkatramana M. Rao have assigned their entire right, title and interest in and to any and all inventions and/or improvements disclosed in said application to the Assignor;

WHEREAS, CYDEX, Inc. (hereinafter referred to as ASSIGNEE), a corporation organized under the laws of the State of Kansas, U.S.A. having a place of business at 12980 Metcalf Ave., Suite 470, Overland Park, Kansas 66213, is desirous of acquiring the same;

NOW, THEREFORE, for and in consideration of One Dollar (\$1.00) and for other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged by ASSIGNOR, ASSIGNOR has assigned, sold, transferred and set over and by these presents does assign, sell, transfer and set over unto said ASSIGNEE the entire right, title and interest in and to (a) said invention and worldwide rights therein; (b) said application, including all provisional and conventional applications, divisions, continuations, continuations-in-part and substitutions thereof; and (c) all United States and foreign patents which shall issue on said invention, including all reissues, reexaminations, renewals and extensions thereof, for the United States, its territories and possessions and all foreign countries, including the right to file corresponding applications for Letters Patent on said invention in any and all foreign countries, and to claim priority under any and all treaties and conventions to which the United States of America is signatory including the Paris Convention for the Protection of Industrial Property for such corresponding applications, or any division, continuation or substitution thereof, the same to be held and enjoyed by said ASSIGNEE, its assigns and successors, as fully and entirely as the same would have been held and enjoyed by ASSIGNOR, had this assignment not been made.

ASSIGNOR severally covenants and agrees that it will, at any time upon the request and at the expense of said ASSIGNEE, execute and deliver any and all papers and do all lawful acts that may be necessary or desirable, in the opinion of said ASSIGNEE, to enable and assist said ASSIGNEE to (a) obtain Letters Patent, both domestic and foreign, on said invention; (b) establish, maintain and secure title in said ASSIGNEE, its successors and assigns, to said invention, application and Letters Patent, including making such title of lawful public record; and (c) defend, establish or otherwise preserve the validity of said Letters Patent against any and all infringers and perform such other acts as are necessary to give full force and effect to this assignment.

ASSIGNOR severally represents and covenants that no assignment, mortgage, sale, license, pledge, encumbrance or alienation of said invention or patent application has been or will be made or entered into which would conflict with this assignment and sale.

ASSIGNOR hereby authorizes and requests the Commissioner of Patents and Trademarks of the United States to issue all Letters Patent based on said application and each division, continuation, substitution, reissue, renewal and extension thereof to said ASSIGNEE, its successors and assigns.

ASSIGNOR further declares that all statements made herein of its own knowledge are true and that all statements made on information and belief are believed to be true; and further that these 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 patent issued thereon.

IN TESTIMONY THEREOF, ASSIGNOR has duly executed this assignment on the date as indicated.

Date: _____

3/8/00


James Roberts

Associate Vice Chancellor

For The University of Kansas (ASSIGNOR)

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RECORDED: 04/06/2000

PATENT
REEL: 010735 FRAME: 0962