

05-16-2000

FORM PTO-1595
1-31-92

RECORD



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U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

101358810

USD 4-20-00 APR 17 4:41
To the Honorable Assistant Commissioner for Patents and Trademarks. Please record the attached original documents or copy thereof

1. Name of conveying party(ies): OPR/FINANCE
Marie Csete, Sean J. Morrison,
Barbara Wold, David J. Anderson

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

2. Name and address of receiving party(ies):
Name: California Institute of Technology
Internal Address: _____

3. Nature of Conveyance:
 Assignment Merger
 Security Agreement Change of Name
 Other _____

Execution Date: January 17, 2000, January 16, 2000,
April 18, 2000, January 14, 2000

Street Address: 1200 East California Blvd
City: Pasadena, California
Country U.S.A. Zip: 91125
Additional 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)
09/425,624

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 F. Trecartin
Internal Address: FLEHR HOHBACH TEST
ALBRITTON & HERBERT LLP

Street Address: SUITE 3400
FOUR EMBARCADERO CENTER
City: SAN FRANCISCO
State: CA Zip: 94111-4187

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41):..... \$40.00
 Enclosed
 Authorized to be charged to deposit account

8. Deposit account number: 06-1300
Please debit any underpayment or credit any overpayment to the above deposit account.

Our Order No. A-68490/RFT/DAV

05/15/2000 DCDATES 00000106 09425624
01 FC-501 40.00 00

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.

Dolly A. Vance *Dolly* April 19, 2000
Name of Person Signing Signature Date
Total number of pages including cover sheet, attachments and document: [9]

OMB No. 0651-0011 (exp. 4/94)

Do not detach this portion
Mail documents to be recorded with required cover sheet information to:
Assistant Commissioner for Patents and Trademarks, Box Assignments
Washington, DC 20231

File No. A-68490/RFT/DAV

Rev. 8/93 (39811)

PATENT
REEL: 010780 FRAME: 0159

ASSIGNMENT

WHEREAS, the undersigned, **Marie Csete**, 1308 Mountain View Avenue, S. Pasadena, CA 91030, **Sean J. Morrison**, 3513 Barton Farm Drive, Ann Arbor, MI 48105, **Barbara Wold**, 2780 Ardmore Road, San Marino, CA 91108 and **David J. Anderson**, 2108 Glenview Terrace, Altadena, CA 91001 (hereinafter termed "Inventors"), have invented certain new and useful improvements in **LOW OXYGEN CULTURING OF NEURAL CREST STEM CELLS AND METHODS OF USE** and have executed an application for a United States patent disclosing and identifying the invention, filed on **October 22, 1999** as Application Serial No. **09/425,624**.

WHEREAS, California Institute of Technology, a corporation of the State of California, having a place of business at Pasadena, State of California, hereinafter Assignee), is desirous of acquiring the entire right, title and interest in and to said application and the invention disclosed therein, and in and to all embodiments of the invention, heretofore conceived, made or discovered by said Inventor(s) (all collectively hereinafter termed "said invention"), and in and to any and all patents, inventor's certificates and other forms of protection (hereinafter termed "patents") thereon granted in the United States and foreign countries.

NOW, THEREFORE, in consideration of good and valuable consideration acknowledged by said Inventors to have been received in full from said Assignee:

1. Said Inventors do hereby sell, assign, transfer and convey unto said Assignees, the entire right, title and interest (a) in and to said application and said invention; (b) in and to all rights to apply for foreign patents on said invention pursuant to the International Convention for the Protection of Industrial Property or otherwise; (c) in and to any and all applications filed and any and all patents granted on said invention in the United States or any foreign country, including each and every application filed and each and every patent granted on any application which is a division, substitution, or continuation of any of said applications; and (d) in and to each and every reissue or extensions of any of said patents.

2. Said Inventors hereby covenants and agrees to cooperate with said Assignee to enable said Assignee to enjoy to the fullest extent the right title and interest herein conveyed in the United States and foreign countries. Such cooperation by said Inventors shall include prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed necessary or desirable by said Assignee (a) for perfecting in said Assignee the right, title and interest herein conveyed; (b) for prosecuting any of said applications; (c) for filing and prosecuting substitute,

divisional, continuing or additional applications covering said invention; (d) for filing and prosecuting applications for reissuance of any said patents; (e) for interference or other priority proceedings involving said invention; and (f) for legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation opposition proceedings, cancellation proceedings, priority contests, public use proceedings, infringement actions and court actions; provided, however, that the expense incurred by said Inventors in providing such cooperation shall be paid for by said Assignee.

3. The terms, covenants and conditions of this assignment shall inure to the benefit of said Assignee, its successors, assigns and other legal representatives, and shall be binding upon said Inventor, his heirs, legal representatives and assigns.

4. Said Inventors hereby warrant and represent that they have not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

1/17/00
Date

Marie Csete
Marie Csete

Date

Sean J. Morrison

Date

Barbara Wold

Date

David J. Anderson

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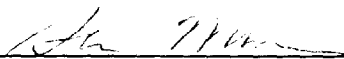
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Date

Marie Csete

1/16/90

Date



Sean J. Morrison

Date

Barbara Wold

Date

David J. Anderson

Attorney Docket No.: A-68490/RFT/DAV

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Attorney Docket No.: A-68490/RFT/DAV

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Date

Marie Csete

Date

Sean J. Morrison

April 18 00
Date

Barbara Wold
Barbara Wold

Date

David J. Anderson

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Marie Csete

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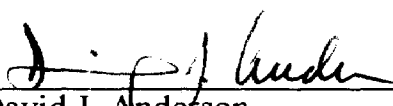
Sean J. Morrison

Date

Barbara Wold

4/14/00

Date



David J. Anderson