	06-01-		
ORM PTO-15			U.S. DEPARTMENT OF COMMERCE
Rev. 6–93) )MB No. 0651–	-0011 (exp. 4/94)		Patent and Trademark Office
4&G-11576.4	311501	1002	
o the Commiss	ioner of Patents and Trademarks: Please record the and organial documents or		
	f conveying party(ies):	2. Name and address of rece	iving party(ies):
Garv C	Chaisson	IntraTherapeutics, Inc.	
Craig V		651 Campus Drive	
		St. Paul, Minnesota 5511	2
ditional new -	(c) of converting parts (isc) attached? 🔲 Vac 🔽 Na	Additional name(a) & address() -ttth	
	(s) of conveying party(ies) attached?  Yes No Sof conveyance:	Additional name(s) & address(es) attache	
	signment		
	her:		
Execution I	Date: November 19, 1999, December 2, 1999		
. Applica	tion number(s) or patent number(s):	<u></u>	
If this d	ocument is being filed together with a new application, th		
	upplieuton, u	e execution date of the application	on is:
4. Patent A	Application No.(s)	e execution date of the applicati B. Patent No.(s)	on is:
A. Patent A		B. Patent No.(s)	on is:
A. Patent A	Application No.(s)	B. Patent No.(s) 5,891,057	on is:
	Application No.(s) Additional numbers attac	B. Patent No.(s) 5,891,057 ← ← ← ← ← ← ← ← ← ← ← ← ← ← ← ← ← ← ←	
5. Name a	Application No.(s)	B. Patent No.(s) 5,891,057	
5. Name a locument s	Application No.(s) Additional numbers attac nd address of party to whom correspondence concerning should be mailed:	<ul> <li>B. Patent No.(s)</li> <li>5,891,057</li> <li>Ched? □ Yes ⊠ No</li> <li>6. Total number of application</li> <li>7. Total fee (37 CFR 3.41):</li> </ul>	ions and patents involved: 1
5. Name a locument s Name:	Application No.(s) Additional numbers attac nd address of party to whom correspondence concerning hould be mailed: David G. Schmaltz	<ul> <li>B. Patent No.(s)</li> <li>5,891,057</li> <li>Ched? ☐ Yes ⊠ No</li> <li>6. Total number of application</li> <li>7. Total fee (37 CFR 3.41):</li> <li>⊠ Enclosed</li> </ul>	ions and patents involved: 1 \$40.00
5. Name a	Application No.(s) Additional numbers attac nd address of party to whom correspondence concerning hould be mailed: David G. Schmaltz Merchant & Gould P.C.	<ul> <li>B. Patent No.(s)</li> <li>5,891,057</li> <li>ched? □ Yes ⊠ No</li> <li>6. Total number of application</li> <li>7. Total fee (37 CFR 3.41):</li> <li>⊠ Enclosed</li> </ul>	ions and patents involved: 1
5. Name a locument s Name:	Application No.(s) Additional numbers attac nd address of party to whom correspondence concerning hould be mailed: David G. Schmaltz	<ul> <li>B. Patent No.(s)</li> <li>5,891,057</li> <li>Ched? ☐ Yes ⊠ No</li> <li>6. Total number of application</li> <li>7. Total fee (37 CFR 3.41):</li> <li>⊠ Enclosed</li> <li>☐ Authorized to be</li> <li>8. Please charge any addition</li> </ul>	ions and patents involved: 1 \$40.00 e charged to deposit account onal fees or credit any
5. Name a locument s Name:	Application No.(s) Additional numbers attac nd address of party to whom correspondence concerning hould be mailed: David G. Schmaltz Merchant & Gould P.C. P.O. Box 2903	<ul> <li>B. Patent No.(s)</li> <li>5,891,057</li> <li>Ched? ☐ Yes ⊠ No</li> <li>6. Total number of application</li> <li>7. Total fee (37 CFR 3.41):</li> <li>⊠ Enclosed</li> <li>☐ Authorized to be</li> <li>8. Please charge any addition</li> </ul>	ions and patents involved: 1 \$40.00 e charged to deposit account
5. Name a locument s Name: Address:	Application No.(s) Additional numbers attac nd address of party to whom correspondence concerning should be mailed: David G. Schmaltz Merchant & Gould P.C. P.O. Box 2903 Minneapolis, MN 55402–0903 DO NOT USE	<ul> <li>B. Patent No.(s)</li> <li>5,891,057</li> <li>Ched? ☐ Yes ⊠ No</li> <li>6. Total number of application</li> <li>7. Total fee (37 CFR 3.41):</li> <li>∑ Enclosed</li> <li>☐ Authorized to be</li> <li>8. Please charge any addition overpayments to our Dep</li> </ul>	ions and patents involved: 1 \$40.00 e charged to deposit account onal fees or credit any
5. Name a locument s Name: Address:	Application No.(s) Additional numbers attaan nd address of party to whom correspondence concerning should be mailed: David G. Schmaltz Merchant & Gould P.C. P.O. Box 2903 Minneapolis, MN 55402–0903	<ul> <li>B. Patent No.(s)</li> <li>5,891,057</li> <li>Ched? ☐ Yes ⊠ No</li> <li>6. Total number of application</li> <li>7. Total fee (37 CFR 3.41):</li> <li>∑ Enclosed</li> <li>☐ Authorized to be</li> <li>8. Please charge any addition overpayments to our Dep</li> </ul>	ions and patents involved: 1 \$40.00 e charged to deposit account onal fees or credit any
5. Name a locument s Name: Address: 0. Stateme To the t	Application No.(s) Additional numbers attac nd address of party to whom correspondence concerning should be mailed: David G. Schmaltz Merchant & Gould P.C. P.O. Box 2903 Minneapolis, MN 55402–0903 DO NOT USE	<ul> <li>B. Patent No.(s)</li> <li>5,891,057</li> <li>Ched? ☐ Yes ⊠ No</li> <li>6. Total number of application</li> <li>7. Total fee (37 CFR 3.41):</li> <li>☐ Enclosed</li> <li>☐ Authorized to be</li> <li>8. Please charge any addition</li> <li>overpayments to our Dep</li> </ul>	ions and patents involved: 1 \$40.00 e charged to deposit account onal fees or credit any posit account number: 13–2725
<ul> <li>Name a locument s</li> <li>Name: Address:</li> <li>O. Stateme To the toriginal</li> </ul>	Application No.(s) Additional numbers attac nd address of party to whom correspondence concerning should be mailed: David G. Schmaltz Merchant & Gould P.C. P.O. Box 2903 Minneapolis, MN 55402–0903 DO NOT USE ent and signature: best of my knowledge and belief, the foregoing information I document.	<ul> <li>B. Patent No.(s)</li> <li>5,891,057</li> <li>Ched? ☐ Yes ⊠ No</li> <li>6. Total number of application</li> <li>7. Total fee (37 CFR 3.41):</li> <li>☐ Enclosed</li> <li>☐ Authorized to be</li> <li>8. Please charge any addition</li> <li>overpayments to our Dep</li> </ul>	ions and patents involved: 1 \$40.00 e charged to deposit account onal fees or credit any posit account number: 13–2725 cached copy is a true copy of the
<ul> <li>Name a locument s</li> <li>Name: Address:</li> <li>Stateme To the b original</li> <li>David G. S</li> </ul>	Application No.(s) Additional numbers attac nd address of party to whom correspondence concerning hould be mailed: David G. Schmaltz Merchant & Gould P.C. P.O. Box 2903 Minneapolis, MN 55402–0903 DO NOT USE ent and signature: best of my knowledge and belief, the foregoing information I document. chmaltz	<ul> <li>B. Patent No.(s)</li> <li>5,891,057</li> <li>ched? ☐ Yes ⊠ No</li> <li>6. Total number of application</li> <li>7. Total fee (37 CFR 3.41):</li> <li>☐ Enclosed</li> <li>☐ Authorized to be</li> <li>8. Please charge any addition overpayments to our Dep</li> <li>THIS SPACE</li> </ul>	ions and patents involved: 1 \$40.00 the charged to deposit account boosit account number: $13-2725$ trached copy is a true copy of the Mery 9, 2000 Date
<ul> <li>Name a locument s</li> <li>Name: Address:</li> <li>Stateme To the toriginal David G. S</li> <li>Name of Period Stateme Statem</li></ul>	Application No.(s) Additional numbers attacned nd address of party to whom correspondence concerning hould be mailed: David G. Schmaltz Merchant & Gould P.C. P.O. Box 2903 Minneapolis, MN 55402–0903 DO NOT USE Ent and signature: pest of my knowledge and belief, the foregoing information I document. chmaltz	<ul> <li>B. Patent No.(s)</li> <li>5,891,057</li> <li>ched? ☐ Yes ⊠ No</li> <li>6. Total number of application</li> <li>7. Total fee (37 CFR 3.41):</li> <li>☐ Enclosed</li> <li>☐ Authorized to be</li> <li>8. Please charge any addition overpayments to our Dep</li> <li>THIS SPACE</li> </ul>	ions and patents involved: 1 \$40.00 e charged to deposit account onal fees or credit any posit account number: 13–2725

.

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.

### ASSIGNMENT OF PATENTS

This Assignment (the "Assignment") is made by and between IntraTherapeutics, Inc., a corporation organized and existing under the laws of the state of Minnesota, having a place of business at 651 Campus Drive, St. Paul, MN 55112 ("Assignee") and Gary Chaisson, an individual resident of the State of Louisiana, and Craig Walker, an individual resident of the State of Louisiana.

WHEREAS, Assignors are the owners of registered patents and patent applications listed on the attached Schedule A (the "Patents"); and

WHEREAS, Assignee is desirous of acquiring all right, title and interest in and to the Patents.

NOW, THEREFORE, for good and valuable consideration received by Assignor from Assignee, the receipt in full of which is hereby acknowledged, the parties agree as follows:

### 1. <u>Definitions</u>.

1.1 "Know-How" shall mean all information, formulations, designs, drawings, operations manuals, compilations of technical information, research files and records, raw material specifications, manufacturing methods and specifications, quality assurance specifications, know-how, processes, product formulas, product and packaging specifications and other proprietary information used in connection with the Patents.

1.2 "Trade Secrets" shall mean all information, including without limitation formulas, patterns, compilations, programs, devices, methods, techniques, processes, or other bodies of technology or business information that (i) derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by use, and (ii) has been the subject of efforts by Assignor to maintain its secrecy prior to the date hereof that are reasonable under the circumstances.

1.3 "Improvement" shall mean all improvements, continuations, derivations of, and related to, the Patents.

### 2. Assignment of Rights.

2.1 Assignors hereby assign and transfer to Assignee all of their right, title and interest, for all countries, in and to the Patents and all Trade Secrets, Know-How and Improvements related to the Patents.

2.2 Assignors further sell, assign, transfer and convey unto Assignee the entire right, title and interest in and to any and all causes of action and rights of recovery for past infringement of the Patents and related Trade Secrets Know-How and Improvements.

PATENT REEL: 010812 FRAME: 0967

Option. In consideration for this Assignment, Assignee hereby grants to each of Garv 3. Chaisson and Craig Walker an option to purchase 5,000 shares of the Common Stock of Assignee at an exercise price of \$1.28 per share and subject to the terms and conditions of a nonqualified stock option agreement.

Expenses. Assignee shall be responsible and liable for all costs relating to prosecution 4. of the Patents incurred on and after the date hereof. Assignors shall be responsible and liable for all costs relating to prosecution of the Patents incurred prior to the date hereof.

Cooperation. Assignors hereby covenant and agree to cooperate with Assignee so that 5. Assignee may enjoy to the fullest extent the right, title and interest herein conveyed. Such cooperation shall include without limitation prompt execution of all papers which are deemed necessary or desirable by Assignee to perfect in it the right, title and interest herein conveyed. In addition, the parties hereto acknowledge and agree that Assignee may use, at its sole discretion, Assignors' patent counsel as its patent agent in connection with prosecution of the Patents

Warranties. Assignors hereby warrant and represent that they have not entered into any 6. assignments, contracts or other understandings with third parties which would conflict with the rights herein granted.

Successors and Assigns. The terms, covenants and provisions of this Assignment shall 7. inure to the benefit of Assignee, its successors, assigns, and/or legal representatives, and shall be binding upon Assignor, its successors, assigns and/or other legal representatives.

IN WITNESS WHEREOF, Assignor has executed and delivered this instrument this [date] day of [month], 1999.

Gary Chaisson Marg Hallen un

State of Louisiana ) ss.

4

County Terrebenne)

On this \_\_\_\_\_ day of <u>December</u>, 1999, before me appeared Gary Chaisson and Craig Walker, the persons who signed this instrument.

10m Wath

Page 2 of 4

PATENT REEL: 010812 FRAME: 0968 IN WITNESS WHEREOF, Assignee has executed and delivered this instrument this 19<sup>th</sup> day of November 1999.

INTRATHERAPEUTICS, INC.

John Erb President and Chief Executive Officer

State of Minnesota )  $(3.5 \times 10^{-3} \text{ ss.})$ 

County <u>anoka</u>)

On this 194 day of NOU, 1999, before me JOhn Erb, the person who signed this instrument, who acknowledged that he or she signed it as a free act on behalf of the identified corporation with authority to do so.

Kim (D. Dickey Notary Public KLW. 1 Diakey NOTARY PUBLIC MINNESOTA AY COMMISSION EXPIRES JANUARY 31, 2000

# Schedule A

# Patent and Patent Application Numbers

United States Patent Number: PCT Filing Number:

•

5,891,057 PCT/US99/02359 Issued: 6 April 1999 Filed: 4 February 1999

Page 4 of 4

## PATENT REEL: 010812 FRAME: 0970

**RECORDED: 05/16/2000**