

10-10-2000



Key Docket No. 023070-107000US

UC Case No.: 97-128-2

FORM PTO-1595
(Rev. 6-93)

101483089

U.S. Department of Commerce
Patent and Trademark Office

To the Honorable Asst. Commissioner for Patents. Please record the attached original documents or copy thereof

1. Name of conveying party(ies):

CARSON, Dennis
SHIH, Hsien C.
COTTAM, Howard B.Additional name(s) of conveying parties attached? ☐ Yes X No.

2. Name and address of receiving party(ies)

Name: The Regents of the University of California

Internal Address:

Street Address: 1111 Franklin Street, Fifth Floor

City: Oakland State: CA ZIP: 94607-5200

Additional names and addresses attached? ☐ Yes X No

3. Nature of conveyance:

X Assignment
Execution Date: November 22, 1999

8/25/00

4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 09/148,576

B. Patent No(s):

Additional numbers attached? ☐ Yes X No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Kevin L. Bastian
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): -----\$40.00

☐ Enclosed☒ Charge Fees to Deposit Account☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.

8. Deposit account number: 20-1430

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9. Statement and signature.

*To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.*Kevin L. Bastian
Name of Person Signing
Atty Reg. No. 37,774

Signature

Date

Total number of pages including cover sheet, attachments and document

10. Change Correspondence Address to that of Part 5? ☒ Yes ☐ No

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

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Mail documents to be recorded with required cover to:

Asst. Commissioner for Patents
Box: Assignments
Washington, D.C. 20231

10/06/2000 AMMED1 00000135 201430 09148576

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PATENT
REEL: 011131 FRAME: 0279

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Dennis A. Carson
2. Hsien C. Shih
3. Howard B. Cottam

hereby sells, assigns, and transfers to ASSIGNEE, The Regents of the University of California, a university, having its statewide administrative offices located at 1111 Franklin Street, Fifth Floor, Oakland, California 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements in the invention entitled:

INADONE AND TETRALONE COMPOUNDS FOR INHIBITING CELL PROLIFERATION

and which is found in

- (a) ☐ U.S. patent application executed on _____, entitled as above and listing the above named persons as inventors.
- (b) ☒ U.S. patent application Serial Number 09/148,576, filed September 4, 1998.
- (c) ☐ U.S. Patent No.: _____, issued _____.

And any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or in any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

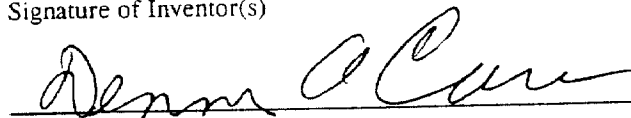
ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and Legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

Executed this

22 day of November, 1999

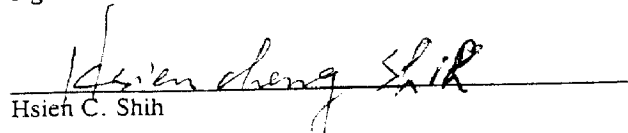
Signature of Inventor(s)


Dennis A. Carson

Executed this

22 day of November, 1999

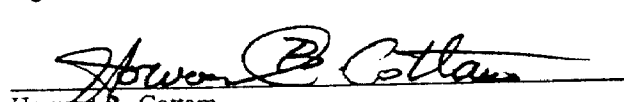
Signature of Inventor(s)


Hsien C. Shih

Executed this

22 day of November, 1999

Signature of Inventor(s)


Howard B. Cottam