101496040

PATENT ket No. 1621.002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Susan W. Barnett et al.

Serial No.:

09/475,515

Group Art Unit: 1643

Filed:

December 30, 1999

Examiner: to be assigned

For:

EXPRESSION OF HIV POLYPEPTIDES AND PRODUCTION OF

VIRUS-LIKE PARTICLES

ASSIGNMENT DOCUMENT COVER LETTER

Box Assignment **Assistant Commissioner for Patents** Washington, D.C. 20231

- 1. The accompanying assignment covers the patent or application identified above.
 - X No other patents or applications are covered by the assignment.
 - Other patents and/or applications covered by the assignment as shown on the attached LIST OF PATENTS AND/OR APPLICATIONS COVERED BY ASSIGNMENT.

NAMES OF PARTY MAKING TRANSFER

2. Name 1: Susan W. Barnett

> Name 2: Jan zur Megede

Name 3: Indresh Srivastava

Name 4: Ying Lian

Name 5: Karin Hartog

Name 6: Hong Liu

Name 7: Catherine Greer

Name 8: Mark Selby

Name 9: Christopher Walker

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231,

day of_

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IDENTITY OF PARTY TO WHOM TRANSFER IS MADE

3.

Transfer is being made to:

	Chiron Corporation 4560 Horton Street - R440 Emeryville, CA 94608-2916 United States of America
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4. T	The accompanying document is an:
 	X Assignment (original) License Security Interest Other
-	X Execution Date(s): February 7, 2000, February 9, 2000, February 10, 2000, February 11, 2000, February 14, 2000, February 16, 2000, February 28, 2000, March 30, 2000, and September 21, 2000
	FEE PAYMENT
5. T	otal fee due \$40.00
	Charge Deposit Account No. 03-1664 in the sum of \$40.00.
	X Enclosed is a check for \$40.00.
<u>.</u>	The Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to Deposit Account No. 03-1664. THIS IS NOT AN AUTHORIZATION FOR PAYMENT OF ANY ISSUE FEES.

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STATEMENT BY THE PARTY

7. I hereby submit that, to the best of my knowledge and belief, the information contained herein is true and correct and any copy submitted herewith is a true and correct copy of the original document.

Respectfully submitted,

By:

Anne S. Dollard

Attorney for Applicants

Reg. No. 43,935

September χ , 2000

CHIRON CORPORATION Intellectual Property - R440 P.O. Box 8097 Emeryville, California 94662-8097 (510) 923-2719 (510) 655-3542 (fax)

Total number of pages comprising cover sheet: 17 (cover Letter plus Original Assignment)

3

ASSIGNMENT

WHEREAS, We, Susan W. Barnett, Jan zur Megede, Indresh Srivastava, Ying Lian, Karin Hartog, Hong Liu, Catherine Greer, Mark Selby, and Christopher Walker, hereinafter referred to as ASSIGNORS, have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: EXPRESSION OF HIV POLYPEPTIDES AND PRODUCTION OF VIRUS-LIKE PARTICLES

Date(s) of Execution: 02/07/00, 02/09/00, Filing Date: December 30, 1999

02/10/00, 02/11/00, 02/14/00, 02/16/00, 02/28/00, and 03/30/00

Serial No: 09/475.515

WHEREAS, CHIRON CORPORATION, 4560 Horton Street, Emeryville, California 94608-2916, a corporation of the State of Delaware, hereinafter referred to as **ASSIGNEE**, is desirous of acquiring the entire right, title and interest in the above invention and application and in any Letters Patent which may be granted on the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for and in consideration of the sum of One Dollar (\$1.00) lawful money paid to ASSIGNORS by ASSIGNEE, receipt of which is hereby acknowledged, ASSIGNORS have sold, assigned and transferred, and by these presents do sell, assign and transfer unto said ASSIGNEE, and ASSIGNEE'S successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions (including conversions claiming priority under 35 U.S.C. \$119(e)), reissues, prolongations or extensions thereof, the said interest to be held and enjoyed by said ASSIGNEE as fully and exclusively as it would have been held and enjoyed by said ASSIGNORS had this assignment and transfer not been made, to the full end and term of any Letters Patent.

1

ASSIGNORS also agree that the U.S. application number may be entered above by **ASSIGNEE** or its agents upon designation of the application number by the U.S. Patent and Trademark Office.

ASSIGNEE'S expense, cooperate with ASSIGNEE in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as ASSIGNEE lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said ASSIGNEE, or ASSIGNEE'S successors and assigns.

IN TESTIMONY WHEREOF, ASSIGNORS have hereunto signed their names to this assignment on the dates indicated below.

DATE 2/7/00	Susan W. Barnett
DATE 2/11/00	Susan W. Barnett
DATE 2/14/00	Janzur Megede J. E. En-aclaro Indresh Srivastava
DATE 2/28/00	Ying Lian
DATE <u>3/30/00</u>	Karin Hartog
DATE	Hong Liu

Atty. Docket No. 1621.002

DATE _	2/14/00	Catherine & Chem
		Catherine Greer
DATE _	2/9/00	Mark Selby
DATE _		
		Christopher Walker

CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of <u>California</u>	
County of Alameda	
Date	Elissa M. Nash, Name and Title of Officer (e.g., "Jane Doe, Notary Public")
personally appeared <u>Susan W. Barnett</u>	Name(s) of Signer(s)
ELISSA M. NASH Commission # 1096687 Notary Public — California Alameda County	on the basis of satisfactory evidence to be the person shose name (s) is as subscribed to the within instrument and acknowledged to me that he she they executed the ame in his her/their authorized capacity(i) and that by sher/their signature (s) on the instrument the person (s) the entity upon behalf of which the person (s) acted, executed the instrument.
	Signature of Notan Public
Though the information below is not required by law, it may pro-	ove valuable to persons relying on the document and could prevent nent of this form to another document.
Description of Attached Document	
Title or Type of Document: Assignment for	Case No. 1621.002
Document Date:	Number of Pages:
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Capacity(ies) Claimed by Signer(s)	
Signer's Name:	Signer's Name:
Individual Corporate Officer Title(s): Partner — Limited General Attorney-in-Fact Trustee Guardian or Conservator Other: Top of thumb here	☐ Individual ☐ Corporate Officer Title(s): ☐ Partner — ☐ Limited ☐ General ☐ Attorney-in-Fact ☐ Trustee ☐ Guardian or Conservator ☐ Other: ☐ Other: ☐ Top of thumb here
Signer Is Representing:	Signer Is Representing:

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CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

Ctata of California	
State of California	
County of Alameda	
On January 10, 2000 before me	Name and Title of Officer (e.g., "Jane Doe, Notary Public")
	Name and title of Officer (e.g., "Jane Doe, Notary Public") Name(s) of Signer(s)
	Name(s) of Signer(s) ne on the basis of satisfactory evidence to be the person(**)
ELISSA M. NASH Commission # 1096687	whose name (s) is/ar subscribed to the within instrument and acknowledged to me that he/she/the/v executed the same in his/her/the/r authorized capacity(ies), and that by his/her/the/r signature(s) on the instrument the person(s) or the entity upon behalf of which the person(s) acted, executed the instrument.
Notary Public — California Alarneda County My Comm. Expires May 10,2000	WITNESS my hand and official seal.
	Signature of Notary Public
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	y prove valuable to persons relying on the document and could prevent achment of this form to another document.
Description of Attached Description	
Description of Attached Document	
Title or Type of Document:Assignmen	nt
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Document Date:	Number of Pages: 2
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Capacity(ies) Claimed by Signer(s)	
Signer's Name:	Signer's Name:
•	
(1) Individual	i lo alimiatora l
☐ Individual	☐ Individual
☐ Corporate Officer	☐ Corporate Officer
☐ Corporate Officer	
	☐ Corporate Officer Title(s):
 □ Corporate Officer	☐ Corporate Officer Title(s): ☐ Partner — ☐ Limited ☐ General ☐ Attorney-in-Fact ☐ Trustee
 □ Corporate Officer Title(s):	Corporate Officer Title(s): □ Partner — □ Limited □ General □ Attorney-in-Fact □ Trustee □ Guardian or Conservator □ RIGHT THUMBPRINT OF SIGNER
 □ Corporate Officer Title(s):	Corporate Officer Title(s): □ Partner — □ Limited □ General □ Attorney-in-Fact □ Trustee □ Guardian or Conservator □ RIGHT THUMBPRINT OF SIGNER
 □ Corporate Officer Title(s):	Corporate Officer Title(s): □ Partner — □ Limited □ General □ Attorney-in-Fact □ Trustee □ Guardian or Conservator □ RIGHT THUMBPRINT OF SIGNER
 □ Corporate Officer Title(s):	Corporate Officer Title(s): Partner — Limited General Attorney-in-Fact Trustee Guardian or Conservator Of SIGNER Top of thumb here
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 □ Corporate Officer Title(s):	Corporate Officer Title(s): Partner — Limited General Attorney-in-Fact Trustee Guardian or Conservator Of SIGNER Top of thumb here

State of California	
State of California County of Alameda	
	re me,
personally appeared <u>Jan zur Megede</u>	Name(s) of Signer(s)
EUSSA M. NASH Commission # 1096687 Notary Public — California Alameda County My Comm. Expires May 10,2000	to me on the basis of satisfactory evidence to be the person whose name subscribed to the within instrument and acknowledged to me that he same in his her their authorized capacity (123), and that by his her their signature (130) on the instrument the person or the entity upon behalf of which the person executed the instrument. WITNESS my hand and official seal.
Though the information below is not required by law, fraudulent removal and Description of Attached Documer	- OPTIONAL it may prove valuable to persons relying on the document and could prevent reattachment of this form to another document.
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Document Date:	Number of Pages: 2
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Document Date:	Number of Pages: 2
Document Date: Signer(s) Other Than Named Above: Capacity(ies) Claimed by Signer(s	Number of Pages:2 Signer's Name:

California State of Alameda County of February 14, 2000 before me. Elissa M. Nash -----Name and Title of Officer (e.g., "Jane Doe, Notary Public") Name(s) of Signer(s) 🗔 personally known to me – **OR** – 🖾 proved to me on the basis of satisfactory evidence to be the person 😭 whose name subscribed to the within instrument and acknowledged to me that he the the same in his had the authorized capacity (ies), and that by his heather signature(s) on the instrument the person(s) or the entity upon behalf of which the person(s) acted, ELISSA M. NASH Commission # 1096687 executed the instrument. Notary Public — California Alameda County My Comm. Expires May 10,2000 WITNESS my hand and official seal. - OPTIONAL · Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document. **Description of Attached Document** Title or Type of Document: Assignment Document Date: ______ Number of Pages: ____2 Signer(s) Other Than Named Above: ___ Capacity(ies) Claimed by Signer(s) Signer's Name: _____ Signer's Name: ______ Individual ☐ Individual Corporate Officer Corporate Officer Title(s): Title(s): ☐ Partner — ☐ Limited ☐ General ☐ Partner — ☐ Limited ☐ General Attorney-in-Fact Attorney-in-Fact Trustee Trustee Guardian or Conservator Guardian or Conservator Other: Other: Top of thumb here Top of thumb here Signer Is Representing: Signer Is Representing:

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State of <u>California</u>	
County of Alameda	
On February 17, 2000 before	re me, Elissa M. Nash, Name and Title of Officer (e.g., "Jane Doe, Notary Public")
	reer, Name(s) of Signer(s)
	Name(s) of Signer(s) I to me on the basis of satisfactory evidence to be the person (s)
ELISSA M. NASH Commission # 1096687 Notary Public — California	whose name(s) is are subscribed to the within instrument and acknowledged to me that be she they executed the same in his her their authorized capacity (less), and that by his her their signature (e) on the instrument the person or the entity upon behalf of which the person acted, executed the instrument.
Alameda County My County Expires May 10,2000	WITNESS my hand and official seal.
	Elibba M. Signatuje of Notary Flublic
	- OPTIONAL -
rnougn the information below is not required by law, fraudulent removal and	it may prove valuable to persons relying on the document and could prevent reattachment of this form to another document.
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Signer's Name: Individual Corporate Officer Title(s): Partner — Limited General	Signer's Name: Individual Corporate Officer Title(s): Partner — 🛘 Limited 🗖 General
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Signer's Name: Individual Corporate Officer Title(s): Partner— Limited General Attorney-in-Fact Trustee Guardian or Conservator	Signer's Name: Individual Corporate Officer Title(s): Partner — Limited General Attorney-in-Fact Trustee Guardian or Conservator RIGHT THUMBPRINT OF SIGNER
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Signer's Name: Individual Corporate Officer Title(s): Partner— Limited General Attorney-in-Fact Trustee Guardian or Conservator	Signer's Name: Individual Corporate Officer Title(s): Partner — Limited General Attorney-in-Fact Trustee Guardian or Conservator RIGHT THUMBPRINT
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Signer's Name: Individual Corporate Officer Title(s): Partner — Limited General Attorney-in-Fact Trustee Guardian or Conservator Other: Top of th	Signer's Name: Individual Corporate Officer Title(s): Partner — Limited General Attorney-in-Fact Trustee Guardian or Conservator OF SIGNER Top of thumb here

CALIFORNIA ALL-PURPOSE ACKNOWŁEDGMENT ᡧᡖᡧᡖᡧᡖᡧᡖᡧᡖᡧᡖᡧᡖᡧᡖᡧᡖᡧᡖᡧᡖᡧᡖᡧᡖᡧᡖᡧᡖᡧᡖᡧᠪᡫᠪᡮᠪᡮᠪᡮᠪᡮᠪᡮᠪᡮᠪᡮᠪᡮᠪᡮ᠘ᠪᡮᡳᠪᡮᡳᠪᡮᡳᠪᡮᡐᡐᡐᡐᡧᡐᡧᡐᡧᠪᡮᠪᡮᠪᡮᠪᡮᠪᡮᠪᡮᠪᡮᠪᡮᠪᡮᠪᡮᠪᡮ State of California Alameda County of On February 28, 2000 before me, Elissa M. Nash ------Name and Title of Officer (e.g., "Jane Doe, Notary Public") personally appeared ____Ying Lian _-----Name(s) of Signer(s) personally known to me - OR - Exproved to me on the basis of satisfactory evidence to be the person(sa) whose name(s) subscribed to the within instrument and acknowledged to me that he she they executed the same in his/her/ther authorized capacity(hes), and that by her/their signature of on the instrument the person of the entity upon behalf of which the person acted, executed the instrument. ELISSA M. NASH Commission # 1096687 Notary Public -- California WITNESS my hand and official seal. Alameda County My Comm. Expires May 10,2000 OPTIONAL Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document. **Description of Attached Document** Title or Type of Document: Assignment document Case No. 1621.002 Document Date: ______ Number of Pages: _____ Signer(s) Other Than Named Above: _____ Capacity(ies) Claimed by Signer(s) Signer's Name: Signer's Name: Individual Individual □ Corporate Officer Corporate Officer Title(s): __ Title(s): _____ ☐ Partner — ☐ Limited ☐ General ☐ Partner — ☐ Limited ☐ General Attorney-in-Fact Attorney-in-Fact Trustee Trustee ☐ Guardian or Conservator Guardian or Conservator Cother: Top of thumb here Other: Top of thumb here Signer Is Representing: Signer Is Representing:

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State of California County of Alameda On March 30, 2000 before me, Elissa M. Nash One Norman Street Development of the Street -PURPOSE ACKNOWLEDGME

Document Date:	Number of Pages:
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Capacity(ies) Claimed by Signer(s)	
Signer's Name:	Signer's Name:
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ASSIGNMENT

WHEREAS, We, Susan W. Barnett, Jan zur Megede, Indresh Srivastava, Ying Lian, Karin Hartog, Hong Liu, Catherine Greer, Mark Selby, and Christopher Walker, hereinafter referred to as ASSIGNORS, have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: EXPRESSION OF HIV POLYPEPTIDES AND PRODUCTION OF VIRUS-

LIKE PARTICLES

Date(s) of Execution: September 21, 2000 Filing Date: December 30, 1999

Serial No: 09/475,515

WHEREAS, CHIRON CORPORATION, 4560 Horton Street, Emeryville, California 94608-2916, a corporation of the State of Delaware, hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in the above invention and application and in any Letters Patent which may be granted on the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for and in consideration of the sum of One Dollar (\$1.00) lawful money paid to ASSIGNORS by ASSIGNEE, receipt of which is hereby acknowledged, ASSIGNORS have sold, assigned and transferred, and by these presents do sell, assign and transfer unto said ASSIGNEE, and ASSIGNEE'S successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions (including conversions claiming priority under 35 U.S.C. §119(e)), reissues, prolongations or extensions thereof, the said interest to be held and enjoyed by said ASSIGNEE as fully and exclusively as it would have been held and enjoyed by said ASSIGNORS had this assignment and transfer not been made, to the full end and term of any Letters Patent.

1

Atty. Docket No. 1621.002

ASSIGNORS also agree that the U.S. application number may be entered above by **ASSIGNEE** or its agents upon designation of the application number by the U.S. Patent and Trademark Office.

ASSIGNORS further agree that they will, without charge to said ASSIGNEE, but at ASSIGNEE'S expense, cooperate with ASSIGNEE in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as ASSIGNEE lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said ASSIGNEE, or ASSIGNEE'S successors and assigns.

IN TESTIMONY WHEREOF, ASSIGNORS have hereunto signed their names to this assignment on the dates indicated below.

DATE	Susan W. Barnett	
DATE	Jan zur Megede	
DATE	Indresh Srivastava	
DATE	Ying Lian	
DATE	Karin Hartog	
DATE	Hong Liu	

2

DATE Catherine Greer

DATE 9-21-2000

Christopher Walker

Witness Signature