

11-20-2000

FORM PTO-1595  
(Rev 6-93)  
OMB No. 0651-0011 (exp. 4/94)

RECC



101522405

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Attorney Docket No. 265.0001 0101

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

**1. Name of conveying party(ies):**

Winston Campbell Patterson

Carol A. Ballinger

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

**3. Nature of conveyance:**

- Assignment  Merger
- Security Agreement  Change of Name
- Other \_\_\_\_\_

Execution Date: September 8, 2000, and October 16, 2000,  
respectively

**2. Name and address of receiving party(ies):**

Name: Board of Regents, The University of Texas System

Street Address: 201 West 7th Street

City: Austin State: Texas ZIP: 78701

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). 09/573,473

B. Patent No(s).

**Title: POLYPEPTIDE THAT INTERACTS WITH HEAT SHOCK PROTEINS**

Additional numbers attached?  Yes  No

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

Name: David L. Provence  
Address: MUETING, RAASCH & GEBHARDT, P.A.  
P.O. Box 581415  
Minneapolis, MN 55458-1415

**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. Please charge any additional fees or credit any overpayments to Deposit account number: 13-4895**

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 an original or a true copy of the original document.*

David L. Provence, Reg. No. 43,022  
Name of Person Signing

Signature

November 2, 2000  
Date

**Total number of pages including cover sheet, attachments, and document(s): 5**

Mail documents to be recorded with required cover sheet information to:  
**Commissioner of Patents and Trademarks**  
Box Assignments  
Washington, D.C. 20231

**PATENT**  
**REEL: 011244 FRAME: 0538**

ASSIGNMENT

Whereas we, Winston Campbell Patterson and Carol A. Ballinger, with residences and citizenships as indicated below; have made an invention in

POLYPEPTIDE THAT INTERACTS WITH HEAT SHOCK PROTEINS

Filed: 17 May 2000

Serial No.: 09/573,473

and executed an application for Letters Patent of the United States of America based thereon;

Now, therefore, for good and valuable consideration, receipt of which is acknowledged, we have individually and jointly agreed to assign and transfer and do hereby assign and transfer unto Board of Regents, The University of Texas System ("Company"), a corporation of the State of Texas, having its principal office at 201 West 7th Street, Austin, Texas 78701, its successors and assigns, the entire right, title, and interest in and to said invention and application, and in and to any division or continuation (in whole or in part) of said application, and in and to any and all improvements in said invention made by us or any of us or made jointly with others (provided any such improvement is made during, or within one year after the termination of, the employment by the Company of whichever of us, solely or jointly with one or more others, has made the same), and in and to any and all Letters Patent, reexaminations, reissues, or extensions thereof, of the United States of America and countries foreign thereto (including the right to apply for Letters Patent, Utility Models, or Inventors' Certificates in foreign countries in its own name and to claim any priority rights for such foreign applications to which such applications are entitled under international conventions, treaties, or otherwise), which have been or may be granted thereon or on any continued prosecution application, divisional, continuation (in whole or in part), renewal, reexamination, reissue, or other or further application based in whole or in part upon said invention or improvements thereon, to be held and enjoyed as fully and exclusively as they would have been by us or any of us had this assignment and transfer not been made;

We do further agree for ourselves and for our heirs, executors, and administrators, to execute and deliver without further consideration any further applications, assignments, and documents, and to perform such other acts as we lawfully may, that may be deemed necessary by the Company, its successors, assigns, and nominees, fully to secure its right, title, and interest as aforesaid and to obtain or maintain Letters Patent, Utility Models, or Inventors' Certificates in any and all countries;

And we do hereby authorize and request the Commissioner of Patents to issue any and all Letters Patent which may be granted upon any of said applications, to Board of Regents, The University of Texas System, as the assignee of the entire right, title, and interest therein.

In witness whereof, we have hereunto signed our names on the days and years set forth below.

*Winston Campbell Patterson*

SEPTEMBER 8, 2000

Name: Winston Campbell Patterson
Address: 104 Cardiff Place, Chapel Hill, NC 27516
Citizenship: United States of America

Date

STATE OF North Carolina )
COUNTY OF Orange ) ss.

On this 8th day of SEPTEMBER 2000 before me personally appeared Winston Cam Patterson to me known to be the person described in and who executed the foregoing instrument, and he executed the same for the uses and purposes therein set forth.

*Joy A. Jeffers*
Notary Public

My Commission Expires May 16, 2001

Serial No. 09/573,473

Filed: 17 May 2000

For: POLYPEPTIDE THAT INTERACTS WITH HEAT SHOCK PROTEINS

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Name:	Carol A. Ballinger	Date
Address:	7239 Avenue M, Santa Fe, Texas 77510	
Citizenship:	United States of America	

STATE OF \_\_\_\_\_ )  
 ) ss.  
 COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_ day of \_\_\_\_\_ 2000 before me personally appeared Carol A. Ballinger to me known to be the person described in and who executed the foregoing instrument, and she executed the same for the uses and purposes therein set forth.

\_\_\_\_\_  
 Notary Public

ASSIGNMENT

Whereas we, Winston Campbell Patterson and Carol A. Ballinger, with residences and citizenships as indicated below; have made an invention in

POLYPEPTIDE THAT INTERACTS WITH HEAT SHOCK PROTEINS

Filed: 17 May 2000

Serial No.: 09/573,473

and executed an application for Letters Patent of the United States of America based thereon;

Now, therefore, for good and valuable consideration, receipt of which is acknowledged, we have individually and jointly agreed to assign and transfer and do hereby assign and transfer unto Board of Regents, The University of Texas System ("Company"), a corporation of the State of Texas, having its principal office at 201 West 7th Street, Austin, Texas 78701, its successors and assigns, the entire right, title, and interest in and to said invention and application, and in and to any division or continuation (in whole or in part) of said application, and in and to any and all improvements in said invention made by us or any of us or made jointly with others (provided any such improvement is made during, or within one year after the termination of, the employment by the Company of whichever of us, solely or jointly with one or more others, has made the same), and in and to any and all Letters Patent, reexaminations, reissues, or extensions thereof, of the United States of America and countries foreign thereto (including the right to apply for Letters Patent, Utility Models, or Inventors' Certificates in foreign countries in its own name and to claim any priority rights for such foreign applications to which such applications are entitled under international conventions, treaties, or otherwise), which have been or may be granted thereon or on any continued prosecution application, divisional, continuation (in whole or in part), renewal, reexamination, reissue, or other or further application based in whole or in part upon said invention or improvements thereon, to be held and enjoyed as fully and exclusively as they would have been by us or any of us had this assignment and transfer not been made;

We do further agree for ourselves and for our heirs, executors, and administrators, to execute and deliver without further consideration any further applications, assignments, and documents, and to perform such other acts as we lawfully may, that may be deemed necessary by the Company, its successors, assigns, and nominees, fully to secure its right, title, and interest as aforesaid and to obtain or maintain Letters Patent, Utility Models, or Inventors' Certificates in any and all countries;

And we do hereby authorize and request the Commissioner of Patents to issue any and all Letters Patent which may be granted upon any of said applications, to Board of Regents, The University of Texas System, as the assignee of the entire right, title, and interest therein.

In witness whereof, we have hereunto signed our names on the days and years set forth below.

Name: Winston Campbell Patterson Date
Address: 104 Cardiff Place, Chapel Hill, NC 27516
Citizenship: United States of America

STATE OF \_\_\_\_\_ )
) ss.
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_ day of \_\_\_\_\_ 2000 before me personally appeared Winston Cam Patterson to me known to be the person described in and who executed the foregoing instrument, and he executed the same for the uses and purposes therein set forth.

Notary Public

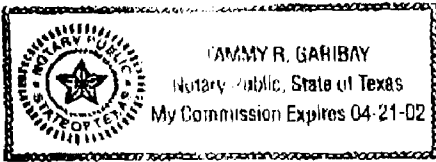
For: POLYPEPTIDE THAT INTERACTS WITH HEAT SHOCK PROTEINS

Carol A. Ballinger 10/16/00  
Name: Carol A. Ballinger Date  
Address: 7239 Avenue M, Santa Fe, Texas 77510  
Citizenship: United States of America

STATE OF TEXAS )  
 ) ss.  
COUNTY OF Galveston )

On this 16 day of October, 2000 before me personally appeared Carol A. Ballinger to me known to be the person described in and who executed the foregoing instrument, and she executed the same for the uses and purposes therein set forth.

J. L. Garibay  
Notary Public



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Patterson et al. ) Group Art Unit: 1643  
 Serial No.: 09/573.473 ) Examiner: unknown  
 Filed: May 17, 2000 ) Docket No.: 265.0001 0101  
 For: POLYPEPTIDE THAT INTERACTS WITH HEAT SHOCK PROTEINS

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

We are transmitting the following documents along with this Transmittal Sheet (which is submitted in triplicate):

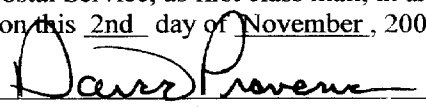
- A return postcard.
- A Petition for Extension of Time for \_ month.
- Verified statement(s) establishing small entity status of this application under 37 C.F.R. §§1.9 and 1.27.
- An Information Disclosure Statement ( \_ pgs), 1449 forms ( \_ pgs); and copies of \_\_\_ cited documents.
- A check of \$ 40.00 , for assignment recordation fee .
- A certified copy of a \_ application, Serial No. \_ , filed \_\_\_\_\_, the right of priority of which is claimed under 35 U.S.C. §119.
- Assignment Recordation Cover Sheet (1 page) attached to 2 Assignments (4 pages)
- Amendment \_\_\_\_\_ No Additional fee is required. \_\_\_\_\_ The fee has been calculated as shown:

Fee Calculation for Claims Pending After Amendment					
	Pending Claims after Amendment (1)	Claims Paid for Earlier (2)	Number of Additional Claims (1-2)	Cost per Additional Claim	Additional Fees Required
Total Claims				x \$9 =	
Independent Claims				x \$40 =	
One or More New Multiple Dependent Claims Presented? If Yes, Add \$135 Here →					
Total Additional Claim Fees Required					

Please consider this a **PETITION FOR EXTENSION OF TIME** for a sufficient number of months to enter these papers and please charge any additional fees or credit overpayment to Deposit Account No. 13-4895. Triplicate copies of this sheet are enclosed.

**CERTIFICATE UNDER 37 C.F.R. §1.8:** The undersigned hereby certifies that this Transmittal Letter and the paper(s), as described hereinabove, are being deposited in the United States Postal Service, as first class mail, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on this 2nd day of November, 2000.

MUETING, RAASCH & GEBHARDT, P.A.  
 P.O. Box 581415, Minneapolis, MN 55458 (612-305-1220)

By:   
 Name: David L. Provence  
 Reg. No.: 43,022  
 Direct Dial: 612/305-1005  
 Facsimile: 612/305-1228

(SMALL ENTITY TRANSMITTAL UNDER RULE 1.8)