

11-21-2000

Press Mail No. EL 501 739 919 US

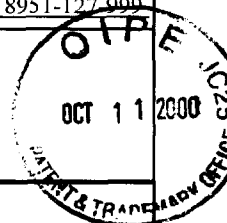
10-11-00



101523065

Attorney Docket Number
8951-127-999

TO THE HONORABLE COMMISSIONER OF PATENTS AND TRADEMARKS

Box Assignment
Washington, DC 20231

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies): Raymond Cooper, Howard Sun, and Qing Ye Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		2. Name and address of receiving party(ies): Name: <u>Pharmanex, Inc.</u> Address: <u>2000 Sierra Point Parkway</u> <u>Suite 701</u> <u>Brisbane, CA 94005-1935</u> Country (if other than USA): _____	
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____ Execution Date: <u>July 28, 2000, July 28, 2000 and</u> <u>August 21, 2000, respectively</u>			
4. Application number(s) or patent number(s): <u>09/640,768</u> If this document is being filed together with a new application, the execution date of the application is: _____ A. Patent Application No.(s) _____ B. Patent No.(s) _____ Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
5. Name and address of party to whom correspondence concerning document should be mailed: PENNIE & EDMONDS LLP 1155 Avenue of the Americas New York, NY 10036		6. Number of applications and patents involved: <u>1</u> 7. Total fee (37 CFR 3.41):.....\$ <u>40.00</u> Please charge to the deposit account listed in Section 8. 8. Deposit account number: <u>16-1150</u>	

DO NOT USE THIS SPACE

9. Statement and signature. <i>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.</i>			
Laura A. Coruzzi by Maria E. Pasquale	30,742 38,265	<i>Laura A. Coruzzi by</i> <i>Maria E. Pasquale</i>	October 11, 2000
Name of Person Signing	Reg. No.	Signature	Date
Total number of pages including cover sheet and copy of cover sheet:			10

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignment
Washington, D.C. 20231PATENT
REEL: 011249 FRAME: 0434

NY2 - 1130190.1

ASSIGNMENT

WHEREAS, WE, Raymond Cooper, citizen of the United Kingdom, residing at 476 Sylvan Avenue, Mountain View, California 94041, Howard Sun, citizen of the United States, residing at 780 Pradera Way, San Ramon, CA, 94583, ASSIGNORS, and Qing Ye, citizen of China, residing at 118 Bao Lin Yi Cun, #503, Shanghai 201900, China, are co-inventors with Dorothy M. Morré and D. James Morré, citizens of the United States, residing at 1112 Cherry Lane, West Lafayette, Indiana 47906, of the invention in NOVEL TEA CATECHIN FORMULATIONS AND PROCESSES FOR MAKING SAME for which we have executed an application for a Patent of the United States

☒ which is executed on ☒ even date herewith or ☐ _____

☒ which is identified by Pennie & Edmonds LLP docket no. 8951-127-999

☐ which was filed on , Application No.

and WHEREAS, Pharmanex, Inc., ASSIGNEE is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND WE HEREBY authorize and request the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, We hereunto set our hands and seals the day and year set opposite our respective signatures.

Date _____, 2000 _____ L.S.

State of _____ } Raymond Cooper

County of _____ } SS.:

In the State of _____, county of _____, on _____, before me, _____, Notary Public, personally appeared Raymond Cooper, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

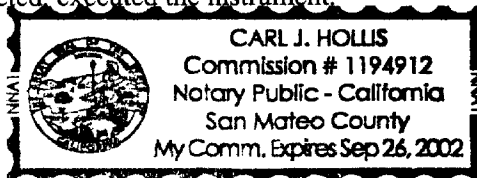
Date 7/28, 2000 Howard Sun L.S.
Howard Sun

State of CALIFORNIA } SS.:

County of SAN MATEO

In the State of CALIFORNIA, county of SAN MATEO, on 7/28/08, before me, CARL J. HOLLIS, Notary Public, personally appeared Howard Sun, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal



Date August 7, 2000 Ye Qing L.S.
Qing Ye

State of _____ } SS.:
County of _____ }

In the State of _____, county of _____, on _____, before me, _____, Notary Public, personally appeared Qing Ye, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

ASSIGNMENT

WHEREAS, WE, Raymond Cooper, citizen of the United Kingdom, residing at 476 Sylvan Avenue, Mountain View, California 94041, Howard Sun, citizen of the United States, residing at 780 Pradera Way, San Ramon, CA, 94583, ASSIGNORS, and Qing Ye, citizen of China, residing at 118 Bao Lin Yi Cun, #503, Shanghai 201900, China, are co-inventors with Dorothy M. Morré and D. James Morré, citizens of the United States, residing at 1112 Cherry Lane, West Lafayette, Indiana 47906, of the invention in NOVEL TEA CATECHIN FORMULATIONS AND PROCESSES FOR MAKING SAME for which we have executed an application for a Patent of the United States

☒ which is executed on ☒ even date herewith or ☐ _____

☒ which is identified by Pennie & Edmonds LLP docket no. 8951-127-999

☐ which was filed on , Application No.

and WHEREAS, Pharmanex, Inc., ASSIGNEE is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND WE HEREBY authorize and request the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, We hereunto set our hands and seals the day and year set opposite our respective signatures.

Date 7/28, 2000 Raymond Cooper L.S.
State of CALIF }
County of SAN MATEO } SS.:
Raymond Cooper

In the State of CALIFORNIA, county of SAN MATEO, on 7/28/00, before me, CARL J. HOLLIS, Notary Public, personally appeared Raymond Cooper, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Carl J. Hollis



Date _____, 2000 _____ L.S.

State of _____ Howard Sun

County of _____ } SS.:

In the State of _____, county of _____, on _____, before me, _____, Notary Public, personally appeared Howard Sun, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Date August 21, 2000, 2000 _____ L.S.

State of _____ } SS.:

County of _____

叶青 Ye Qing

Qing Ye

In the State of _____, county of _____, on _____, before me, _____, Notary Public, personally appeared Qing Ye, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

证 明 书

(2000)沪宝证外字第 1421 号

兹证明叶青（女，一九六七年七月三日出生）于二〇〇〇年八月二十一日来到我处，在我的面前，在前面的英文《让渡书》上签名。

中华人民共和国上海市宝山区公证处

公证员

彭 刚

二〇〇〇年八月二十二日



nslation

Certificate

(2000) H.B.Z.W.Z.No.1421

This is to certify that on Aug.21,2000, Ye Qing (female, born on July 3,1967)
came to our Office and before me affixed her signature to the foregoing
SIGNMENT in English.

Shanghai Baoshan District Notary Public Office

The People's Republic of China

(sealed)

Notary Public: Peng Gang

(sealed)

ed: Aug.22, 2000

4761

证 明 书

(2000) 沪宝证外字第 1422 号

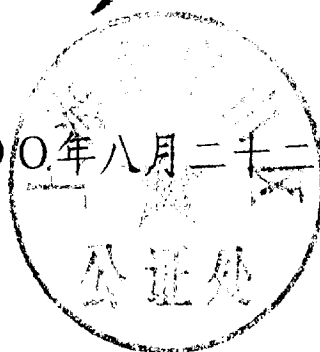
兹证明前面的 (2000) 沪宝证外字第 1421 号《证明书》的英文译本内容与该公证书中文原本相符。

中华人民共和国上海市宝山区公证处

公证员

彭 刚

二〇〇〇年八月二十二日



Translation

Certificate

(2000) H.B.Z.W.Z.No.1422

This is to certify that the foregoing English Translation of the Certificate
(2000) H.B.Z.W.Z.No.1421 is true and faithful to the original Certificate in
Chinese.

Shanghai Baoshan District Notary Public Office

The People's Republic of China

(sealed)

Notary Public: Peng Gang

(sealed)

Dated: Aug.22, 2000

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