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FORM PTO-1595  
(Rev. 6-93)

101597464

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):

Peter J. Harrington, Lewis M. Hodges

Additional name(s) of conveying parties attached? **JAN 04 2001**☐ Yes☒ No. **1-4-01**

## 2. Name and address of receiving party(ies)

Name: Roche Colorado Corporation

Internal Address:

Street Address: Boulder Technology Center, 2075 North  
55th Street

City: Boulder State: CO ZIP: 80301

Additional names and addresses attached?

☐ Yes☒ No

## 3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other:

Execution Dates: 12/12/00; 12/13/00

## 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): 09/668,799

B. Patent No(s):

Additional numbers attached?

☒ Yes☒ No

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

Name: Don D. Cha  
TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, CA 94111-3834  
Phone: (303) 571-4000

## 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.*Thomas D. Franklin

Name of Person Signing

Signature

Date

**12/28/00**

Atty Reg. No. 43,616

Total number of pages including cover sheet, attachments and document 3

## 10. Change Correspondence Address to that of Part 5?

☒ Yes☐ No

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

Mail documents to be recorded with required cover to:

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01 EC:581

40.00 CH

PATENT  
REEL: 011451 FRAME: 0996

**ASSIGNMENT OF PATENT APPLICATION**

JOINT

WHEREAS, Peter J. Harrington, of 862 Trail Ridge Drive, Louisville, CO 80027; Lewis M. Hodges, of 4869 Eagle Blvd., Longmont, CO 80504; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention:           SYNTHESIS OF 3,6-DIALKYL-5,6-DIHYDRO-4-HYDROXY-PYRAN-2-ONE

Filing Date:                 09/22/2000

Application No.:            09/668,799; and

WHEREAS, Roche Colorado Corporation, a corporation of United States, located at Boulder Technology Center, 2075 North 55th Street, Boulder, CO, 80301, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, 8<sup>th</sup> Floor, San Francisco, CA 94111-3834, to insert herein above the application number and

filing date of said application when known.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 12/12/00

Peter J. Harrington  
Peter J. Harrington

STATE OF COLORADO )  
COUNTY OF Boulder ) ss.

On December 12, 2000, before me, Linda M. Staggs,  
personally appeared Peter J. Harrington, personally known to me (or proved to me on the  
basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and  
acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on  
the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Linda M. Staggs  
NOTARY PUBLIC

My Commission Expires: June 14, 2004

Dated: 12/13/00

Lewis M. Hodges  
Lewis M. Hodges

STATE OF COLORADO )  
COUNTY OF ) ss.

On December 13, 2000, before me, Linda M. Staggs,  
personally appeared Lewis M. Hodges, personally known to me (or proved to me on the basis of  
satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me  
that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the  
person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Linda M. Staggs  
NOTARY PUBLIC

My Commission Expires: June 14, 2004

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