

01-30-2001

Docket No. 0575/53819/JPW/ADM

FORM PTO-1595 (Substitute)

(Rev. 8-96)



U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

To the Honorable Commissioner of Patents

101598802

Mail documents or copy thereof.

1. Name of conveying party(ies):

Haiqing Zhao

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

Name: The Trustees of Columbia University  
in the City of New York

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Street Address: Broadway and West 116th StreetCity/State/Zip: New York, New York 10027

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of Conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other \_\_\_\_\_Execution Date(s): December 15, 2000Additional 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(s) of the application is(are): \_\_\_\_\_

A. Patent Application No.(s) See Exhibit A  
of the attached Communication

B. Patent No.(s) \_\_\_\_\_

Additional numbers attached?

☒ Yes ☐ No

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

Name: John P. White, Esq.

Internal Address: \_\_\_\_\_

Street Address: Cooper & Dunham LLP1185 Avenue of the AmericasCity/State/Zip: New York, New York 100366. Total number of applications and patents involved: 47. Total fee (37 CFR §3.41): ..... \$ 160.00☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

03-3125

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9. Statement and signature.

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.

John P. White

Name of Person Signing

Signature

January 18, 2001

Date

Total Number of pages including cover sheet, attachments and document: 7

I hereby certify that this correspondence is being deposited this date with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231

John P. White

Date

Registration No. 28,678

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

Mail documents to be recorded with required cover sheet information to:

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Box Assignments

Washington, D.C. 20231

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PATENT  
REEL: 011460 FRAME: 0419

<b>Application No.</b>	<b>Title</b>	<b>Filing Date</b>	<b>Status</b>
60/045,961 (US)	Process For Delivering, Expressing, And Assaying Neuronal Receptors In Neuronal Cells	May 7, 1997	
08/891,243 (US)	Functional Expression Of, And Assay For, Functional Cellular Receptors In Vivo	July 10, 1997	U.S. Patent No. 5,993,778 issued November 30, 1999
09/085,371 (US)	Functional Expression Of, And Assay For, Functional Cellular Receptors In Vivo	May 19, 1998	Allowed
PCT/US98/09343 (PCT)	Functional Expression Of, And Assay For, Functional Cellular Receptors In Vivo	May 7, 1998	Pending

# ASSIGNMENT

**In consideration of** One Dollar (\$1.00). and other good and valuable considerations, the receipt of which is hereby acknowledged, I, Assignor,

Haiqing Zhao, residing at 8201 16<sup>th</sup> Street, Apt. 923, Silver Spring, Maryland, 20910, U.S.A.,

hereby sells, assigns and transfers to Assignee,

THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, a corporation duly organized and existing under, and by virtue of, the laws of New York, and having a principal place of business at 110 Low Memorial Library, West 116<sup>th</sup> Street and Broadway, New York, New York 10027, its successors, assigns and legal representatives,

the entire right, title and interest of Assignor for all countries, in and to any and all inventions which are disclosed and claimed, as well as any and all inventions which are disclosed but not claimed, (the "Invention") in any of the following United States Patents, applications for United States Patents, PCT International Patent Application, and national and regional stage patent applications:

U.S. Provisional Patent Application No. 60/045,961, filed May 7, 1997 for Process For Delivering, Expressing, And Assaying Neuronal Receptors In Neuronal Cells;

U.S. Patent Application Serial No. 08/891,243, filed July 10, 1997 for Functional Expression Of, And Assay For, Functional Cellular Receptors In Vivo, now U.S. Patent No. 5,993,778, issued November 30, 1999;

U.S. Patent Application Serial No. 09/085,371, filed May 19, 1998 for Functional Expression Of, And Assay For, Functional Cellular Receptors In Vivo, now allowed;

PCT International Patent Application No. PCT/US98/09343, filed May 7, 1998 for Functional Expression Of, And Assay For, Functional Cellular Receptors In Vivo;

Australian Patent Application No. 73728/98, filed May 7, 1998 for Functional Expression Of, And Assay For, Functional Cellular Receptors In Vivo, national stage of PCT International Patent Application No. PCT/US98/09343;

Canadian Patent Application No. 2,289,613, filed May 7, 1998 for In Vivo Expression System For Cellular Receptors, national stage of PCT International Patent Application No. PCT/US98/09343;

European Patent Application 98921036.4, filed May 7, 1998 for Functional Expression Of, And Assay For, Functional Cellular Receptors In Vivo, regional stage of PCT International Patent Application No. PCT/US98/09343; and

New Zealand Patent Application No. 500884, filed May 7, 1998 for Functional Expression Of, And Assay For, Functional Cellular Receptors In Vivo, National stage of PCT International Patent Application No. PCT/US98/09343.

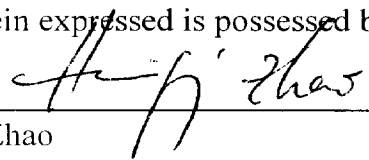
and in and to each of the aforesaid applications and patents and all divisional, continuing, substitute, renewal, reissue, and all other applications for U.S. Letters Patent or other related property rights in any and all foreign countries which have been or shall be filed on any of said inventions disclosed in any of the aforesaid applications and patents; and in and to all original and reissued patents or related foreign documents which have been or shall be issued on said inventions;

**Authorizes** and requests the Commissioner of Patents and Trademarks of the United States to issue to said Assignee, the corporation above named, its successors, assigns and legal representatives, in accordance with this assignment, any and all United States Letters Patent on said inventions or any of them disclosed in said applications and patents;

**Agrees** that said Assignee may apply for and receive foreign Letters Patent or rights of any other kind for said inventions, or any of them; and may claim, in applications for said foreign Letters Patent or other rights, the priority of the aforesaid patent applications under the provisions of the International Convention of 1883 and later modifications thereof, under the Patent Cooperation Treaty, under the European Patent Convention or under any other available international agreement; and that, when requested, without charge to, but at the expense (including, without limitation, reimbursement of the fees of Assignor's professional advisors reasonably incurred by Assignor in providing such assistance) of, said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this assignment. Assignor or Assignor's successors, legal representatives, executors or administrators will, for the United States and all foreign countries, execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications or other documents on any and all said inventions; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignee, its successors, assigns and representatives, all facts known and documents available to the Assignor or Assignor's successors relating to said inventions and the history thereof; testify in all legal proceedings; and generally do everything possible which said Assignee, its successors, assigns or representatives shall reasonably request for aiding in securing, maintaining and enforcing proper patent protection for said inventions and for vesting title to said inventions and all applications for patents or related foreign rights and all patents on said inventions, in said Assignee, its successors, assigns and legal representatives;

**Represents and Warrants** that the aforesaid list of patent applications and patents is an accurate and complete list of all patent applications and patents disclosing the Invention, and that should any additional patent application(s) and/or patent(s) be discovered which claim subject matter of the Invention, then Assignor shall assign such patent application(s) and/or patent(s) to Assignee and execute any additional assignments having substantially the same terms as the present Assignment; and

**Covenants** with Assignee, its successors, assigns and legal representatives that except for any assignment to Theodor Inc., no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by Assignor, and that full right to convey the same as herein expressed is possessed by Assignor.

  
Haiqing Zhao

Date: Dec. 15 2000

Witness

Brinda Prasad

BRINDA PRASAD

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