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02-08-2001

Express Mail No. EL 501 740 024 US

Attorney Docket Number  
8449-073-999

101608348

TO THE HONORABLE COMMISSIONER OF PATENTS AND TRADEMARKS  
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Please record the attached original documents or copy thereof.

1.77.01

1. Name of conveying party(ies):

Pramod K. Srivastava

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

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ OtherExecution Date: January 16, 2001

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

Name: University of Connecticut Health CenterAddress: 263 Farmington Avenue  
Farmington, Connecticut  
06030-6207

Country (if other than USA):

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) 09/693,643

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ 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 100366. Number of applications and patents involved: 17. Total fee (37 CFR 3.41):.....\$ 40.00  
Please charge to the deposit account listed in Section 8.8. Deposit account number:  
16-1150

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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.*Adriane M. Antler32,605

Signature

January 22, 2001

Date

Name of Person Signing Reg. No.

Total number of pages including cover sheet:

2

Mail documents to be recorded with required cover sheet information to:  
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NY2 - 1162390.1

PATENT  
REEL: 011488 FRAME: 0565

## ASSIGNMENT

WHEREAS, I, Pramod K. Srivastava, ASSIGNOR, citizen of India, residing at 70 Pheasant Run, Avon, Connecticut, 06001, am the inventor of the invention in "Using Heat Shock Proteins To Increase Immune Response" for which I 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. 8449-073-999

☒ which was filed on October 20, 2000, Application No. 09/693,643

and WHEREAS, University of Connecticut Health Center, a corporation organized and existing under the laws of the State of Connecticut, having its principal office at 263 Farmington Avenue, Farmington, Connecticut, 06030-6207, ASSIGNEE, is desirous of obtaining my 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 me in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, I, the said ASSIGNOR, 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, my 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 I 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 I HEREBY covenant and agree that I have full right to convey the entire interest herein assigned, and that I have not executed, and will not execute, any agreement in conflict herewith.

AND I HEREBY further covenant and agree that I will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to me 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, I hereunto set my hand and seal this 16<sup>th</sup> day of January, 2001.

Pramod K. Srivastava L.S.

State of Connecticut  
County of Hartford ) SS.: Farmington

On January 16<sup>th</sup>, 2001, before me, Susan Wasik, Notary Public, personally appeared PRAMOD K. SRIVASTAVA, 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

Susan Wasik

My Commission Exp. Jan. 31, 2005

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RECORDED: 01/22/2001

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REEL: 011488 FRAME: 0566