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FORM PTO-1595  
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U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office



2-1-01

RE

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101613594

Attorney Docket No. 600-1-192N2

To the Assistant Commissioner for Patents. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Xiangdong W. Yang and Shiaoqing Gong

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

3. Nature of conveyance:

Assignment  Merger  
 Security Agreement  Change of Name

Other: \_\_\_\_\_

Execution Date: January 24, 2001 (respectively)

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

Name: The Rockefeller University

Address: 1230 York Avenue

New York, NY 10021-6399

Additional name(s) & address(es) attached?  Yes  No

4. Application number(s) or patent number(s):

FEB 1 2001

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

09/619,364

B. Patent No.(s)

Additional numbers attached?  Yes  No

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

Name: David A. Jackson

Address: KLAUBER & JACKSON

411 Hackensack Avenue, 4th Floor

Hackensack, New Jersey 07601

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, if necessary - for overages or underpayments only

8. Deposit account number:

11-1153

(Attach duplicate copy of this page if paying by deposit account)

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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.

Michael D. Davis, Reg. No. 39,161

Name of Person Signing

Michael D. Davis

Signature

February 1, 2001

Date

Total number of pages including cover sheet, attachments, and document: 5

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

Assistant Commissioner For Patents  
Box Assignments  
Washington, D.C. 20231

PATENT  
REEL: 011505 FRAME: 0749

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**ASSIGNMENT**

WHEREAS, WE,

Peter Model, a citizen of the United States, residing at  
500 East 63rd Street  
New York, New York 10021;

Xiangdong W. Yang, a citizen of the People's Republic of China, residing at  
1230 York Avenue, Box 260,  
New York, New York 10021; and

Shiaoching Gong, a citizen of the People's Republic of China, residing at  
504 East 63<sup>rd</sup> Street, Apt. 10S  
New York, New York 10021;

have invented certain new and useful improvements in

**METHODS OF PERFORMING HOMOLOGOUS RECOMBINATION BASED  
MODIFICATION OF NUCLEIC ACIDS IN RECOMBINATION DEFICIENT CELLS  
AND USE OF THE MODIFIED NUCLEIC ACID PRODUCTS THEREOF**

for which we have filed an Application for Letters Patent in the United States on July 19,  
2000, and was accorded U.S. Serial No. 09/619,364; and

WHEREAS,

The Rockefeller University,  
an education corporation organized and existing under  
the laws of the State of New York,  
with office at 1230 York Avenue, New York, New York 10021-6399,

ASSIGNEE, is desirous of obtaining the entire right, title and interest in, to and under the  
said improvements and the said application;

NOW, THEREFORE, for other good and valuable consideration, the receipt of which  
is hereby acknowledged, we the said

Peter Model ; Xiangdong W. Yang; and Shiaoching Gong

have sold, assigned, transferred and set over, and by these presents do hereby sell, assign,  
transfer and set over, to the said

The Rockefeller University,

its successors, legal representatives and assigns, the entire right, title and interest in, to and  
under the said improvements, and the said application and all divisions, renewals, and  
continuations thereof, and all Letters Patent of the United States which may be granted  
thereon and all reissues and extensions thereof, and all applications for Letters Patent which  
may hereafter be filed for said improvements in any country or countries foreign to the

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United States, including the right to claim priority under the terms of any appropriate International Convention based upon said application for Letters Patent of the United States, and all Letters Patent which may be granted from said improvements in any country or countries foreign to the United States and 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 is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said

The Rockefeller University,

its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant that we have full right to convey the interest herein assigned in the manner hereinabove set forth, 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

The Rockefeller University,

its successors, legal representatives and assigns, any fact known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisions, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said

The Rockefeller University,

its successors, legal representatives and assigns, to obtain and enforce proper Patent Protection for said improvements in the United States.

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IN TESTIMONY WHEREOF, we hereunto set our hand and seal the day and year set opposite our signatures.

Date \_\_\_\_\_, 19 \_\_\_\_\_ L.S.  
Peter Model

State of :  
: ss.  
County of :

Before me this day of 2000, personally appeared Peter Model, to me personally known to be the person who is described in and who executed the above instrument, and acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

\_\_\_\_\_  
NOTARY PUBLIC

(Affix Seal Here)

Date 1/24, ~~2001~~ 2001 \_\_\_\_\_ L.S.  
Xiangdong W. Yang

State of :  
: ss.  
County of :

Before me this 24<sup>th</sup> day of January 2000, personally appeared Xiangdong W. Yang, to me personally known to be the person who is described in and who executed the above instrument, and acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

\_\_\_\_\_  
NOTARY PUBLIC

**EDIT BIRO**  
Notary Public, State of New York  
No. 31-4962936  
Qualified in Suffolk County  
Commission Expires Feb. 28, 2002

(Affix Seal Here)

Attorney Docket No.: 600-1-192N2

Date 1/24 2001

Shiaoching Gong L.S.  
Shiaoching Gong

State of :  
County of : ss.  
:

Before me this 24<sup>th</sup> day of ~~January~~ 2001, personally appeared Shiaoching Gong, to me personally known to be the person who is described in and who executed the above instrument, and acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

EDIT BIRO  
NOTARY PUBLIC

(Affix Seal Here)

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Commission Expires Feb. 28, 2002