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PATENTS ONLY

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## RECORDATION FORM COVER SHEET

05-02-2001



101697286

To the Honorable Commissioner of Patents and Trademarks.  
Please record the attached original documents or copy thereof

1. Name of the conveying party(ies)

Francis C. Szoka, Jr., 45 Mendosa Avenue, San Francisco, CA 94116

Xin Guo, 150 Font Blvd., #6B, San Francisco, CA 94132

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

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

The Regents of the University of California  
1111 Franklin Street, 12th Floor  
Oakland, CA 94607-5200

Additional Names(s) and Address(es) Attached  
[ ] Yes [X] No

3. Nature of conveyance:

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

Execution Date(s): April 22, 2001

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).

09/778,388

B. Patent No(s).

Additional Numbers Attached? [ ] Yes [X] No

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

Nathan P. Koenig  
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DIRECT DIAL: (541) 386-1484

Docket No. 13054.01600

6. Total number of Applications and Patents involved 17. Total Fee (37 CFR § 3.41) . . . . . \$ 40.00

[X] Enclosed [ ] Previously Paid

[ ] Authorized to be charged to Deposit Account

8. Deposit Account No. 03-3821. Please reference Attorney

Docket No. 13054.01600

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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.*

Rebecca M. Klits  
Name of Person Signing

*Rebecca M. Klits*  
Signature

April 24, 2001  
Dated

Total number of pages including cover sheet, attachments, and document: 4

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ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

Francis C. Szoka, Jr. and Xin Guo

Hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the united States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

pH Sensitive Lipids Based On Ortho Ester Linkers, Composition And Method

and which is found in

- (a) ☐ U.S. provisional application filed herewith and listing the above-named persons as inventors
- (b) ☐ U.S. patent application filed herewith and listing the above-named persons as inventors
- (c) ☒ U.S. application serial no. 09/778,388 filed on February 7, 2001
- (d) ☐ U.S. Patent No. \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

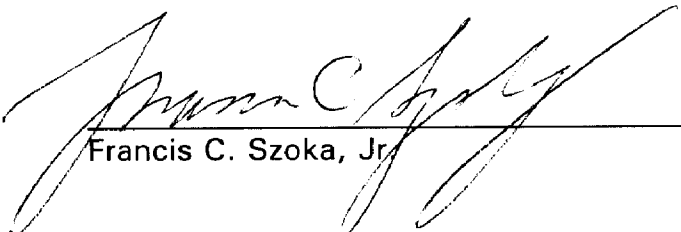
ASSIGNOR(S) further covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is

authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

IN TESTIMONY WHEREOF, ASSIGNOR(S) has hereunto signed his/her name to this assignment on the date indicated below.

Date: 4/22/01   
State of \_\_\_\_\_  
County of \_\_\_\_\_

On \_\_\_\_\_ (date) before me, \_\_\_\_\_ (name or title), personally appeared Francis C. Szoka, Jr. /    / personally known to me **OR** /    / proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to this 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.

\_\_\_\_\_  
Signature of Notary

SEAL

IN TESTIMONY WHEREOF, ASSIGNOR(S) has hereunto signed his/her name to this assignment on the date indicated below.

Date: 4/22/01

Xin Guo  
Xin Guo

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ (date) before me, \_\_\_\_\_ (name or title),  
personally appeared Xin Guo /\_\_ / personally known to me **OR** /\_\_ / proved to me on the  
basis of satisfactory evidence to be the person whose name is subscribed to this  
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.

\_\_\_\_\_  
Signature of Notary

SEAL