

05-09-2001

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please rec



101709465

1. Name of conveying party(ies):

Timothy J. Cunningham
Forrest Haun
Kathie L. Eagleson
Pat R. Levitt
Sarah E. Kennedy

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

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

Name Philadelphia, Health and
Education Corporation
Internal Address _____
Street Address: Broad And Vine Streets
City: Philadelphia State/Country: PA ZIP: 19102

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

3. Nature of conveyance:

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

Execution Date: March 11, 1998 and March 11, 1998
and March 13, 1998 and March 12, 1998 and
March 15, 1998.

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)

B. Patent No.(s)

09/936,477Additional Application/Patent Numbers attached? ☐ Yes ☒ No

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

Name: Kathleen D. Rigaut, Ph.D., J.D.
Address: DANN, DORFMAN, HERRELL AND SKILLMAN
1601 Market Street, Suite 720
Philadelphia, Pennsylvania 19103-2307
Telephone: (215) 563-4100 Facsimile: (215) 563-4044

6. Total number of applications and patents involved:..... 17. Total Fee (37 CFR 3.41).....\$ 40.00

☒ Enclosed
☐ Authorized to be charged to deposit account

8. In the event the check enclosed is improper, or the fee calculation is in error, the Commissioner is authorized to charge any underpayment or credit any overpayment to the account of the undersigned attorneys.

Deposit Account Number: 04-1406

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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.

Kathleen D. Rigaut, Ph.D., J.D.
Name of Attorney or Agent

Signature of Attorney or Agent

April 30, 2001

Total number of pages comprising cover sheet: (includes this sheet in duplicate)

05/09/2001 GT0N11 00000213 09936477

01 FC:581

40.00 OP

PATENT
REEL: 011764 FRAME: 0006

ASSIGNMENT

ALLEGHENY HEALTH, EDUCATION AND RESEARCH FOUNDATION, whose full post office address is One Allegheny Center, Suite 230, Pittsburgh, PA 15212, U.S.A., in consideration of \$1.00, the receipt of which is hereby acknowledged, and other good and valuable consideration, does hereby sell and assign to PHILADELPHIA, HEALTH AND EDUCATION CORPORATION, whose full post office address is Broad and Vine Street, Philadelphia, PA 19102, U.S.A., all its right, title and interest in the United States in and to the invention disclosed in an application for patent relating to, and entitled NEURON REGULATORY FACTOR FOR PROMOTING NEURON SURVIVAL, the application originating from PCT application US94/10051 and bearing U. S. Application No. 08/936,477, and International filing date of 31 August 1994, and to all its corresponding right, title and interest in and to any patent which may be, or has been granted therefor.

The Assignor hereby requires that this assignment be drawn in the English language.

SIGNED at Pittsburgh, PA., U.S.A. this 30th day of April, 2001.

ALLEGHENY HEALTH, EDUCATION
AND RESEARCH FOUNDATION

By: Charles P. Morrison
Title LIQUIDATION OFFICER

STATEMENT BY WITNESS

I, Carol Gordon, whose full post office address is One Allegheny Center, Suite 230, Pittsburgh, Pa 15212, U. S. A., was personally present and did see Charles P. Morrison execute the within assignment and who is personally known to me to be the person signing such document.

Carol Gordon
Signature of Witness

ASSIGNMENT

WHEREAS, Timothy J. Cunningham, Forrest Haun, Kathie L. Eagleson, Pat R. Levitt and Sarah E. Kennedy, hereinafter referred to as **ASSIGNORS**, are named inventors of an invention entitled: **"NEURON REGULATORY FACTOR FOR PROMOTING NEURON SURVIVAL"** described and claimed in an application for Letters Patent of the United States signed by **ASSIGNORS** and dated the 11th day of March, 1998 and 11th day of March, 1998 and 13th day of March, 1998, and 12th day of March, 1998, and 15th day of March, 1998, under U.S. Application No.: 08/936,477.

WHEREAS, Allegheny Health, Education, and Research Foundation, a public body Corporate of the State of Pennsylvania, located at Broad & Vine, Mail Stop 485, Philadelphia, Pennsylvania 19102-1192, hereinafter referred to as **ASSIGNEE**, is desirous of acquiring said invention and any and all applications for Letters Patent and any and all Letters Patent of the United States and foreign countries which may be issued therefor;

NOW THEREFORE THIS IS TO WITNESS that in consideration of the sum of One Dollar (\$1.00) paid to **ASSIGNORS** by **ASSIGNEE**, the receipt of which is hereby acknowledged, and for other good and valuable consideration, **ASSIGNORS** have sold, assigned and set over and hereby does sell, assign and set over, unto **ASSIGNEE**, its successors and assigns, for the territory of the United States of America and for all foreign countries, **ASSIGNORS'** entire right, title and interest in and to the aforesaid inventions, as well as any improvement thereof, and any and all applications for Letters Patents which have been, or hereafter may be, filed on said invention or any said improvement, including any and all divisional, renewal, substitute, continuation and continuation-in-part application, together with the right to claim priority accruing from said applications, and all Letters Patent which may be granted on any said application(s) for said invention or any said improvement, and all extension(s) and reissue(s) thereof.

And **ASSIGNORS** hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all Letters Patent of the United States to **ASSIGNEE**, its successors and assigns, as the owner of all right, title and interest therein.

And for said consideration, it is hereby covenanted and agreed that at the request and expense of **ASSIGNEE**, its successors and assigns, **ASSIGNOR** will execute any further papers and do such other acts and things as may be necessary and proper to permit **ASSIGNEE**, its successors and assigns, to procure Letters Patent for said invention in the United States and in such foreign countries as **ASSIGNEE**, its successors and assigns may elect, and vest the full title thereto in **ASSIGNEE**, its successors and assigns.

IN WITNESS WHEREOF, this assignment has been executed on the day and month indicated below.

Date

Date

Signature

TIMOTHY J. CUNNINGHAM

Date

FORREST HAUN

3/13/98
Date

3/12/98
Date

3/15/98
Date

K. Eagleson
KATHIE L. EAGLESON

~~Pat R. Levitt~~
PAT R. LEVITT

Sarah E. Kennedy
SARAH E. KENNEDY