

**RECORDATION FORM COVER SHEET
PATENTS ONLY**

Application Number	09/774,403
Confirmation Number	3054
Filing Date	January 30, 2001
First Named Inventor	Eyal Raz et al.
Examiner	Unassigned
Group Art	2651
Attorney Docket No.	UCAL-166

ADDRESS TO:

Commissioner of Patents and Trademarks
Box Assignment
Washington, D.C. 20231

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

1. Name of conveying party(ies):

1. Eyal Raz 2. Richard Kornbluth 3. ~~Antonio~~ Catanzaro
4. Tomoko Hayashi 5. Dennis A. Carson

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): 01/26/01, 01/29/01 and 01/30/01

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

Name: The Regents of the University of
California

Internal Address:

Street Address: 1111 Franklin Street, 5th Floor

City: Oakland State: California Zip: 94607

Additional 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 of the application is:

A. Patent Application Number(s):

09/774,403

B. Patent Number(s):

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

Name: Carol L. Francis

Street Address: BOZICEVIC, FIELD & FRANCIS, LLP
200 Middlefield Road, Suite 200
Menlo Park, CA 94025

Telephone: (650) 327-3400

Facsimile: (650) 327-3231

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**8. The Commissioner is authorized to charge any fees
which may be required, or credit any overpayment to
Deposit Account 50-0815. If additional fees are required,
including extensions of time, please consider this a
petition therefore.**

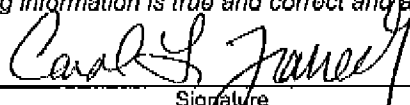
DO NOT USE THIS SPACE

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.*

Carol L. Francis

Name of Person Signing


SignatureJuly 25, 2001
Date

ADDITIONAL NAMES AND ADDRESSES

2. Name of conveying party(ies): 1. Eyal Raz 2. Richard Kornbluth 3. Antonino Catanzaro 4. Tomoko Hayashi 5. Dennis A. Carson		2. Name and address of receiving party(ies): Name: Department of Veteran Affairs, U.S. Government	
Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input type="checkbox"/> No		Internal Address:	
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: _____		Street Address: Office of General Counsel	
Execution Date(s): _____		City: Washington State: D.C. Zip: 24020	
1. Name of conveying party(ies):		2. Name and address of receiving party(ies):	
Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input type="checkbox"/> No		Name:	
3. Nature of conveyance: <input type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: _____		Internal Address:	
Execution Date(s): _____		Street Address:	
		City: State: Zip:	
1. Name of conveying party(ies):		2. Name and address of receiving party(ies):	
Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input type="checkbox"/> No		Name:	
3. Nature of conveyance: <input type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: _____		Internal Address:	
Execution Date(s): _____		Street Address:	
		City: State: Zip:	
<div style="border: 1px solid black; width: 100px; height: 30px; margin: 0 auto;"></div>			

<p>ASSIGNMENT OF APPLICATION</p> <p>Address to: Box Assignment Assistant Commissioner for Patents Washington, D.C. 20231</p> <p>(UC Ref No. 2000-158-2)</p>	Attorney Docket No.	6510-166US1
	First Named Inventor	Raz et al.
	Application Number	09/774,403
	Filing Date	January 30, 2001
	Group Art Unit	2651
	Examiner Name	Unassigned
	Title Immunomodulatory Polynucleotides in Treatment of an Infection by an Intracellular Pathogen	

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

1. Eyal Raz

2. Richard Kombluth

5. Dennis A. Carson

3. Antonino Catanzaro

4. Tomoko Hayashi

hereby sell, assign and transfer to ASSIGNEES, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, California 94607-5200, and the U.S. Government represented by the Department of Veteran Affairs, having its administrative offices located at the Office of the General Counsel, Washington DC 20420, and the successors, assigns and legal representatives of the ASSIGNEES 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:

Immunomodulatory Polynucleotides in Treatment of an Infection by an Intracellular Pathogen

and which is found in U.S. patent application filed herewith and listing the above named persons as inventors 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 III (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) hereby covenant 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 covenant 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.

JUL-27-01 FRI 09:07 AM BOZICEVIC FIELD&FRANCIS

FAX NO. 650 327+3231

01/26/01

12:26

UCSD/CARSON LABORATORIES → 650 327+3231

P. 05
NO. 288 003

JAN-26-01 FRI 10:29 AM BOZICEVIC FIELD&FRANCIS

FAX NO. 650 327+3231

P. 08

AND the ASSIGNOR(S) request 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.

executed this

Signature of Inventor(s)

26 day of Jan 2001

Eyal Raz

day of , 2000

Richard Kornbluth

day of , 2000

Antonia Catanzaro

day of , 2000

Tomoko Hayashi

26 day of Jan 2001

Dennis A. Carson

FORM 100 (10-10-90) - U.S. PATENT & TRADEMARK OFFICE

<p>ASSIGNMENT OF APPLICATION</p> <p>Address to: Box Assignment Assistant Commissioner for Patents Washington, D.C. 20231</p> <p>(UC RefNo. 2000-158-2)</p>	Attorney Docket No.	6510-166US1
	First Named Inventor	Raz et al.
	Application Number	09/774,403
	Filing Date	January 30, 2001
	Group Art Unit	2651
	Examiner Name	Unassigned
	Title Immunomodulatory Polynucleotides in Treatment of an Infection by an Intracellular Pathogen	

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5. Dennis A. Carson

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Immunomodulatory Polynucleotides in Treatment of an Infection by an Intracellular Pathogen

and which is found in U.S. patent application filed herewith and listing the above named persons as inventors 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 III (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;

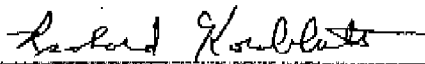
ASSIGNOR(S) hereby covenant that no assignment sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenant 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.

JUL-27-01 FRI 09:08 AM BOZICEVIC FIELD&FRANCIS
JAN-26-01 FRI 10:35 AM BOZICEVIC, FIELD&FRANCIS

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FAX NO. 650 327+3231

P. 07
P. 08

AND the ASSIGNOR(S) request 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.	
executed this	Signature of Inventor(s)
_____ day of _____, 2000	Eyal Raz
<u>30</u> day of <u>January</u> , 2000	 Richard Kornbluth
_____ day of _____, 2000	Antoni o Catanzaro
_____ day of _____, 2000	Tomoko Hayashi
_____ day of _____, 2000	Dennis A. Carson

FROM: UNINTENTED - UCAD (Inventor) (UC) (1)

1

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executed this

Signature of Inventor(s)

____ day of _____, 2000

Eyal Raz

____ day of _____, 2000

Richard Kornbluth

29 day of Jan, 2001


Antonio Catanzaro

____ day of _____, 2000

Tomoko Hayashi

29 day of Jan, 2001

Dennis A. Carson

ASSIGNMENT OF APPLICATION Address to: Box Assignment Assistant Commissioner for Patents Washington, D.C. 20231 (UC Ref No. 2000-158-2)	Attorney Docket No.	6510-166US1
	First Named Inventor	Raz et al.
	Application Number	09/774,403
	Filing Date	January 30, 2001
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	Examiner Name	Unassigned
	Title	Immunomodulatory Polynucleotides in Treatment of an Infection by an Intracellular Pathogen

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executed this

Signature of Inventor(s)

_____ day of _____, 2000

Eyal Raz

_____ day of _____, 2000

Richard Kornbluth

_____ day of _____, 2000

Antonio Catanzaro

26 day of January, 2000


Tomoko Hayashi

_____ day of _____, 2000

Dennis A. Carson

U.S. PATENT AND TRADEMARK OFFICE (USPTO)