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U.S. Department of

Patent and Trademark

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

## 1. Name of conveying party(ies):

Josef SCHRÖER

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

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

Name: LONZA AG

Street Address: Geschäftsleitung

City: Basel

Country: Switzerland

Zip: CH-4002

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

## 3. Nature of conveyance:



Assignment



Merger



Security Agreement



Change of Name



Other

Execution Date: May 17, 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):

B. Patent No.(s)

09/787,419

Additional numbers attached? ☐ Yes ☒ No

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

Name: Virgil H. Marsh

Street Address: 1725 K Street, N.W.

Suite 1401

City: Washington State: D.C. Zip: 20006

## 6. Total number of applications and patents involved: 1

## 7. Total fee (37 C.F.R. 3.41).....\$ 40.00



Enclosed



Authorized to be charged to Deposit Account.

## 8. Deposit Account Number:

(Attach duplicate copy of this page if paying by Deposit Account)

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.

Virgil H. Marsh, Reg. No. 23,083

Name of Person Signing

Virgil H. Marsh  
SignatureJune 8, 2001  
Date

Total number of pages including cover sheet, attachments, and document: 2

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

Assistant Commissioner for Patents, Box ASSIGNMENTS, Washington, D.C. 20231

06/15/2001 TDIAZ1  
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**WHEREAS, I, Josef SCHRÖER, a citizen of Switzerland, residing at Burg-**  
**gartenstr. 26, CH-4103 Bottmingen, SWITZERLAND;**

**have invented certain new and useful improvements in METHOD FOR PRODUCING 6,6-DIALKOXY-**  
**5-HYDROXY-3-OXO-HEXANOIC ACID ESTERS**

**for which I have made application for LETTERS PATENT OF THE UNITED STATES, which application has**  
**given Serial No. 09/787,419 and was filed on March 23, 2001.**

**And Whereas, LONZA AG, organized and existing under the laws of Switzerland, having its**  
**principal place of business at Geschäftsleitung, CH-4002 Basel, Switzerland**

**hereinafter called the assignee, is desirous of acquiring the entire right, title and interest in and to said invention**  
**within the United States of America and its territorial possessions and all foreign countries and any United States or**  
**foreign LETTERS PATENT that may be granted therefor.**

**Now, this Indenture Witnesseth. That for and in consideration of the sum of ten Dollars, in hand paid to**  
**us, and other good and valuable considerations, the receipt whereof is hereby acknowledged I have assigned, sold**  
**and transferred, and do hereby assign, sell and transfer to the said assignee the entire right, title and interest in and**  
**to the said invention, within the United States of America and its territorial possessions and all foreign countries, and**  
**in and to said application for LETTERS PATENT of the United States, and in and to all other applications for**  
**LETTERS PATENT for said invention in all other countries, and in and to all divisions and continuations of any of**  
**said applications, and in and to any LETTERS PATENT of the United States and foreign countries and all reissues**  
**and extensions thereof that may be granted, and the right to apply for LETTERS PATENT in foreign countries with**  
**full benefit of such priorities as may now or hereafter be granted to us by local laws or by treaty, including any**  
**international convention, for the protection of industrial property, together with the right to extend the protection of**  
**said U.S. LETTERS PATENT to the various territorial possessions now owned or which may be hereafter acquired**  
**by the United States of America, all said rights to be held and enjoyed by the assignee for its own use and behoof,**  
**and for the use and behoof of its successors or assigns, to the full end of the respective terms for which said**  
**LETTERS PATENT may be granted, as fully and entirely as the same would have been held and enjoyed by us if this**  
**assignment sale had not been made. And I do hereby request and authorize that any and all LETTERS PATENT,**  
**when granted, be issued in accordance with this assignment to the assignee.**

**In further consideration of said sum of ten Dollars, and said other good and valuable considerations, to**  
**me paid I covenant and agree with the assignee that I have a full and unencumbered title to the invention hereby**  
**assigned, which title I warrant unto the assignee, and I further agree that I will, without demanding any further**  
**consideration therefor, at the request but at the expense of the assignee, do all lawful and just acts, including the**  
**execution and acknowledgment of instruments, furnishing of information and giving of testimony, that may be or**  
**become necessary for obtaining, sustaining, or reissuing United States and foreign LETTERS PATENT for the said**  
**invention, and for maintaining and perfecting the assignee's right to said invention and LETTERS PATENT,**  
**particularly in cases of interference and litigation.**

**In Testimony Whereof, I have hereunto set my hand and affixed my seal, this 17 day of**  
**May, 2001.**

  
\_\_\_\_\_  
Josef SCHRÖER [SEAL.]

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