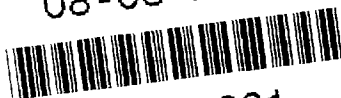




D  
\$

08-08-2001



101804231

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

Form PTO-1595

(Rev. 03/01)

RE

OMB No. 0651-0027 (exp. 5/31/2002)

Tab settings

To the Honorable Commissioner of Pa

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Genomics Collaborative, Inc.

8-2-61

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

3. Nature of conveyance:



Assignment



Merger



Security Agreement



Change of Name



Other

Execution Date: July 31, 2001

2. Name and address of receiving party(ies)

Name: GATX Ventures, Inc.

Internal Address:

Street Address:

3687 Mt. Diablo Boulevard, Suite 200

City: Lafayette

State: CA

Zip: 94549

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 No.(s)  
09/258,562 09/745,129 60/239,133  
09/745,005 60/238,975 60/260,242  
09/758,912 60/238,977 60/281,227

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: GATX Ventures, Inc.

Internal Address: Legal Department

Street Address:

3687 Mt. Diablo Boulevard, Suite 200

City: Lafayette State: CA Zip: 94549

6. Total number of applications and patents involved: 9

7. Total fee (37 CFR 3.41).....\$



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.

Gizelle Barany, Associate Counsel  
for GATX Ventures, Inc.

Name of Person Signing

Signature

July 31, 2001

Date

Number of pages including cover sheet, attachments, and documents: 5

08/07/2001 10:00 AM

00000004 60238131

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

360.00 US Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

01 FC:581

PATENT  
REEL: 012038 FRAME: 0552

# GRANT OF SECURITY INTEREST

## PATENTS

THIS GRANT OF SECURITY INTEREST, dated as of July 31, 2001, is executed by GENOMICS COLLABORATIVE, INC. a Delaware corporation ("Debtor"), in favor of GATX VENTURES, INC. ("Secured Party").

A. Pursuant to a Loan and Security Agreement, dated as of July 31, 2001 (the "Agreement") among Debtor and the Secured Party, the Secured Party has agreed to extend certain credit facilities to Debtor upon the terms and subject to the conditions set forth therein;

B. Debtor owns the letters patent and/or applications for letters patent, of the United States, more particularly described on Schedules 1-A and 1-B annexed hereto as part hereof (collectively, the "Patents");

C. Pursuant to the Agreement, Debtor has granted to Secured Party a security interest in all right, title and interest of Debtor in and to the Patents, together with any reissue, continuation, continuation-in-part or extension thereof, and all proceeds thereof, including any and all causes of action which may exist by reason of infringement thereof for the full term of the Patents (the "Collateral"), to secure the prompt payment, performance and observance of the Obligations, as defined in the Agreement;

NOW, THEREFORE, for good and valuable consideration, receipt of which is hereby acknowledged, Debtor does hereby further grant to Secured Party a security interest in the Collateral to secure the prompt payment, performance and observance of the Obligations.

Debtor does hereby further acknowledge and affirm that the rights and remedies of Secured Party with respect to the security interest in the Collateral granted hereby are more fully set forth in the Agreement, the terms and provisions of which are hereby incorporated herein by reference as if fully set forth herein.


Secured Party's address is:                      GATX Ventures, Inc.  
3687 Mount Diablo Blvd., Suite 200  
Lafayette, California 94549

With a copy to:

GATX Ventures, Inc.  
16 Munson Road  
Farmington, CT 06032

IN WITNESS WHEREOF, Debtor has caused this instrument to be executed as of the day and year first written above.

GENOMICS COLLABORATIVE, INC.

By:   
Name: Michael R. Dougherty  
Title: President

SCHEDULE 1-A TO GRANT OF SECURITY INTEREST

PATENTS

**Patent**  
NA

**Registration Number**  
NA

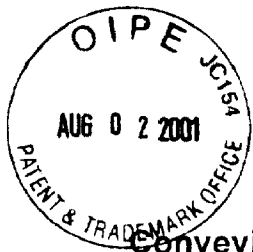
**Registration Date**  
NA



SCHEDULE 1-B TO GRANT OF SECURITY INTEREST

PATENT APPLICATIONS

<b>Patent Application</b>	<b>Application Number</b>	<b>Application Date</b>
<b>Unique Identifier for Biological Samples</b>	09/258,562	2/25/99
<b>Method of Diagnosing and Treating Increased Risk of Death from Community-Acquired Pneumonia Associated with A Allele of the TNF -238 Polymorphism</b>	09/745,005	12/21/00
<b>Method for Anonymizing Patient Identity and Clinical Samples</b>	09/758,912	01/11/01
<b>Methods of Diagnosing Community Acquired Pneumonia (CAP) and Predisposition or Susceptibility for CAP and Associated Shock Through Detection of Gene Polymorphisms</b>	09/745,129	12/21/00
<b>Methods of Identifying Predisposition or Susceptibility for Bacteremia in Patients with Community Acquired Pneumonia</b>	60/238,975	10/10/00
<b>Methods of Identifying Patients having Predisposition to Type II Hypercarbic Respiratory Failure and an Increased Requirement for Mechanical Ventilation with Community Acquired Pneumonia through Detection of Interleukin 10 Gene Polymorphisms</b>	60/238,977	10/10/00
<b>Methods of Diagnosing and Treating Increased Risk of Death from Community-Acquired Pneumonia Associated with the A Allele of TNF -308</b>	60/239,133	10/10/00
<b>Method of Identifying and Managing Increased Risk of Breast Carcinoma Associated with Polymorphisms in MHC Genes</b>	60/260,242	01/08/01
<b>Method of Diagnosing and Treating Pneumonia and Pneumonia-Related Sepsis Associated with the IL6-174 Gene Polymorphism</b>	60/281,227	04/03/01



## RECEIPT

**Conveying Party:** Genomics Collaborative, Inc.

**Receiving Party:** GATX Ventures, Inc.

**Type of document:** Security Agreement

**Date filed:** August 2, 2001

**Filing fee:** \$360

**Number of patents involved:** 9