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6/22/01

Patent and Trademark Office

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

1. Name of conveying party(ies):

Andrew J. DANNENBERG  
Kotha SUBBARAMAIAH

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

2. Name and address of receiving party(ies)

Name: CORNELL RESEARCH FOUNDATION, INC.

Internal Address: Suite 105

Street Address: 20 Thornwood Drive

City: Ithaca State: New York ZIP: 14850

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

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3. Nature of conveyance:

- (X) Assignment ( ) Merger
- ( ) Security Agreement ( ) Change of Name
- ( ) Other \_\_\_\_\_

Execution Date: 06/19/01

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: 06/19/01

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ( ) Yes (X) No

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

Name: Eric S. Spector  
Internal Address: JONES, TULLAR & COOPER, P.C.  
Street Address: P.O. Box 2266 Eads Station  
City: Arlington State: VA ZIP: 22202

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00  
(X) Enclosed (as part of Check No. 16054)  
( ) Authorized to be charged to deposit account

8. Deposit account number: \_\_\_\_\_

(Attache duplicate copy of this page if paying by deposit account)

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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.

Eric S. Spector  
Name of Person Signing

[Signature]  
Signature

June 22, 2001  
Date

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

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
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PATENT  
REEL: 012123 FRAME: 0438

# ASSIGNMENT

In consideration of One Dollar (\$1.00), and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the undersigned, **Andrew J. DANNENBERG** and **Kotha SUBBARAMAIAH** hereby sell, assign and transfer to **CORNELL RESEARCH FOUNDATION, INC.**, a corporation of the State of New York, having a place of business at Suite 105, 20 Thornwood Drive, Ithaca, New York 14850, its successors, assigns and legal representatives, the entire right, title and interest for the United States and all foreign countries, in and to any and all improvements which are disclosed in the application for United States Letters Patent, which has been executed by the undersigned concurrently herewith and is entitled **TREATING CANCERS ASSOCIATED WITH OVEREXPRESSION OF HER-2/neu**, and in and to said application and all divisional, continuing, substitute, renewal, reissue, and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said improvements;

Agree that said Assignee may apply for and receive Letters Patent for said improvements in its own name; and that, when requested, without charge to but at the expense of said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignee, its successors, assigns, and representatives, all facts known to the undersigned relating to said improvements and the history thereof; and generally do everything possible which said Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns and legal representatives; and

Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Date..... 6/19/01 .....

..... Andrew J. Dannenberg ..... (L.S.)  
Andrew J. Dannenberg

Date..... 06/19/01 .....

..... K. Subbaramaiah ..... (L.S.)  
Kotha Subbaramaiah