FORM PTO-1 \$95	u.s. DEPARTMENT OF COMMERCÉ Patent and Trademark Office
RECORDATION FOR	
81-01	
To the Hanorable Commissioner of Patents and Tradamarks: P	lease record the attached original documents or copy thereof
Name of conveying party(ies):	Name and address of receiving party(ies)
E.I. du Pont de Nemours and Company	Name: Purdue Research Foundation
	Address: West Lafayette Indiana 47907
Additional name(s) of conveying partyllas) attached? 🗆 Yas 🖾 No	
3. Nature of conveyance:	
□ Assignment □ Merger	
☐ Security Agreement ☐ Change of name	
☑ Other Donation Agreement and Amendment	Additional name(s) & address(es) attached? ☐ Yes য No
Execution Date: 6/15/01 and 9/27/01	
4. Application number(s) or patent number(s):	
If this document is being filed together with a n application is	ew application, the execution date of the
A. Patent Application No.(s) 07/689,042	B. Patent No.(s) 5,182,303
Additional numbers at	ttached? □ Yes ≖ No
Name and address of party to whom correspondence concerning document should be mailed:	6. Total number of applications and patents involved: 1
Name: <u>Greenlee, Winner &amp; Sullivan, P.C.</u>	7. Total fee (37 CFR 3.41): \$40
Internal Address:	□ Enclosed
Street Address: 5370 Manhattan Circle,	Authorized to be charged to deposit account
Suite 20 <u>1</u>	8. Deposit Account Number 07-1969
City: <u>Boulder</u> State: <u>CO</u> ZIP: <u>80303</u>	
DO NOT US	THIS SPACE
attached copy is a true copy of the original doo	
Donna M. Ferber Name of Person signing Signature	November 5, 2001 Date
	sheet, attachments, and document: 11_

# INTELLECTUAL PROPERTY DONATION AGREEMENT

This Agreement, effective as of the last date of execution hereof between the parties (the "Effective Date"), is by and between:

E. I. du Pont de Nemours and Company, a corporation of the State of Delaware having its principal place of business at 1007 Market Street, Wilmington, Delaware 19808 (hereinafter "DuPont"),

and

Purdue Research Foundation, West Lafayette, Indiana 47907 (hereinafter "PRF") for and on behalf of Purdue University (hereinafter "Purdue").

#### Article 1—Background

- 1.1 DuPont is the owner of certain patents, patent applications, and incidental Know-How pertaining to two biologically active compounds identified as 78069 and MJ644, and other related compounds (the "Technology"), which have utility in the insect control industry. Purdue University is engaged in the research, development, and dissemination of technologies related to the insect control industry.
- 1.2 DuPont is willing to donate its patents, patent applications, and Know-How pertaining to the Technology to PRF. In turn, PRF is willing to accept the DuPont donation, further evaluate and develop the Technology, where appropriate through Purdue, and maintain the Patent Rights for a minimum period of at least two (2) years following the Effective Date. Accordingly, DuPont and PRF agree to the donation, subject to the terms and conditions set forth in this Agreement.

#### Article 2—Definitions

As used herein, the term:

- 2.1 "Patent Rights" means the patents and patent applications listed in Appendices A-1 and A-2.
- 2.2 "Know-How" means DuPont's trade secrets related to the Technology, including technical information in DuPont's possession on the Effective Date that it is free to disclose to PRF and Purdue, that is summarized in the reports listed in Appendices B-1

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and B-2, and, if given orally under Section 4.1, that is reduced to writing, and identified as Know-How under the terms of this agreement, within thirty (30) days of disclosure.

### Article 3—Assignment of Rights

- DuPont hereby assigns its entire right, title and interest in the Patent Rights to PRF. DuPont assignment includes granting to PRF, DuPont's right to enforce Patent Rights and to recover damages for any infringement retroactively to the issue date of any patent included in Patent Rights. DuPont shall execute such further documentation as may be reasonably furnished by PRF to vest and record title of the Patent Rights in PRF's name, at PRF's expense.
- 3.2 DuPont further conveys to PRF its entire right, title, and interest in Know-How disclosed to the PRF under this Agreement. Accordingly, DuPont will neither use the Know-How, nor disclose the Know-How to others for use, after the Effective Date. Correspondingly, after the Effective Date, PRF may use the Know-How, and disclose it to others, including by publication, at its sole discretion. PRF shall not use the DuPont name or any DuPont trade name or trademark in any such publication or otherwise in any activity arising out of the subject matter of this donation, nor shall DuPont be identified as the source or originator of any of the information in any such publication, without the prior written consent of DuPont. Transmission of Know-How to PRF under this Agreement shall be made solely to Office of Technology Commercialization, 1291 Cumberland Ave., Suite F, West Lafayette, Indiana 47906, Attn: Assist. VP and Director.
- 3.3 In addition to the foregoing assignment of the Patent Rights and Know-How and as an additional contribution to PRF, DuPont hereby agrees to pay to PRF the sum of twenty thousand dollars (\$20,000.00) in the form of a restricted grant, which shall be used by PRF either (a) to pay the costs of prosecution and/or maintenance of the Patent Rights or, at its discretion, (b) further develop the Technology in accord with PRF's commitment under Article 1.2 of this Agreement.

#### Article 4—DuPont Assistance

4.1 DuPont will make its employees familiar with the Technology available to Purdue during the first six (6) months following the Effective Date, at times and locations to be agreed upon that are convenient for both parties, in order to assist PRF in the transmission of the Know-How.

- DuPont shall cooperate with PRF in the preparation, filing, and prosecution of (i) patent application(s) relying in whole or in part on the filing dates of the Patent Rights for priority, and (ii) such other patent application(s) as PRF may elect to file on inventions contained in the Know-How. PRF shall have sole discretion in the preparation, filing, and prosecution of these patent applications, and shall bear all costs associated therewith, as of the Effective Date. PRF shall reimburse DuPont for any out-of-pocket costs, which are preapproved in writing by PRF and incurred by DuPont, at PRF's request, pursuant to this Article 4.2. DuPont's cooperation under this Article 4.2 shall not include any activity that will cause DuPont to incur any out-of-pocket costs, unless such costs are preapproved in writing by PRF.
- Prior to or promptly after execution of this Agreement, PRF shall inform DuPont of the individual or law-firm assuming responsibility for administration of the Patent Rights. DuPont shall deliver files pertaining to the Patent Rights in a timely manner in order that PRF can (i) prepare such documents it desires to evidence the assignment and (ii) undertake orderly administration of the Patent Rights, including, without limitation, prosecution of pending patent applications as PRF deems appropriate.
- DuPont shall cooperate with PRF to the extent that DuPont's cooperation may be required in the enforcement or defense of any Patent Rights, or of any patents obtained pursuant to the preceding paragraph. Such assistance shall be provided at times and in a manner that is not unduly disruptive of DuPont's normal course of business. PRF shall reimburse DuPont for the time spent by DuPont employees in these activities requested by PRF, and for DuPont's out-of-pocket costs, which have been preapproved by PRF in writing, including any necessary travel expenses or accommodation. DuPont's cooperation under this Article 4.4 shall not include any activity that will cause DuPont to incur any out-of-pocket costs, unless such costs are preapproved in writing by PRF.

#### Article 5—Warranties and Liability

5.1 DuPont warrants that it owns and has good title to the Patent Rights. DuPont is not aware of any claim, or written threat of claim, that the practice of the Patent Rights would infringe third party patents or other intellectual property rights. Except as set forth above, DuPont makes no warranties with respect to freedom from alleged infringement of third party patents or freedom from third party infringers. DuPont shall not be under any obligation to hold PRF or future licensees, assignees or transferees of PRF harmless against alleged infringement of third party patents. DuPont agrees to inform PRF of any third party patents known as of the Effective Date to employees of DuPont's Crop Protection Products business unit familiar with the Technology, which third party patents may present a freedom to operate issue with respect to the use of the Technology.

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DuPont assumes no responsibility whatsoever with respect to the practice of the Know-How and/or Patent Rights by PRF or PRF's licensees, assignees, or transferees. To the extent authorized by law, PRF hereby indemnifies and holds DuPont harmless from any loss, claim, lawsuit, damage to property or the environment, illness or injury (including death), to any person or property, whatever the cause, arising out of or pertaining to the use or practice of the Know-How and/or Patent Rights by PRF, its officers, employees or agents after the Effective Date. PRF also agrees to require all of PRF's future licensees, assignees or transferees to indemnify PRF. Purdue and DuPont for any loss, claim, lawsuit, damage to property or the environment, illness or injury (including death), to any person or property, whatever the cause, arising out of or pertaining to the use or practice of the Know-How and/or Patent Rights, donated to PRF by DuPont, by future licensees, assignees or transferees after the Effective Date.

#### Article 6-Miscellaneous

11/05/2001 11:04 FAX 3034998089

- 6.1 This Agreement shall be governed by the laws of the State of Indiana, which shall also be the forum for any disputes arising hereunder.
- 6.2 This Agreement supersedes the confidentiality agreement between the parties dated June 28, 2000, which hereby is null and void.
- 6.3 This Agreement constitutes the entire agreement between the parties concerning the subject matter hereof. No amendment shall be effective unless in writing, signed by both parties hereto.
- 6.4 The parties have caused this Agreement to be signed in duplicate by their duly authorized representatives on the dates set forth below.

	Research Foundation	E. I. du Pont de Nemours and Company
By: <u>(l</u>	Cesybon I Kuntila	By: Slmo Beyer
Printed 1	Verwabeth J. Kuuttila	Printed Name: ELmo Beyer
	Assistant Vice President and Director	_ Title: U. P. R&D Strategy & dutegration
Date: S:\User Fold	6 19 0 1	Date: 6/25/01

Purdue Research Foundation • 4

### APPENDIX A-1

BA8780	Substituted Sen	nicarbazo	ne Arthrop	odicides				
Country	Type	Status	Filing No.	Filing date	Grant No.	Grant date	Expiry	
EUR PATENT	European Appln		All -				20-Dec-09	
FRANCE	European Appln		71.5	20-Dec-89	377304	09-Mar-94	20-Dec-09	
	European Appin			20-Dec-89		09-Mar-94	20-Dec-09	
ITALY				20-Dec-89		09-Mar-94	20-Dec-09	
SPAIN	European Appln	Crosted	515832/90				20-Jun-10	
JAPAN							27-Dec-08 ✓	_
U. S. A.			07/689042	_			27-Dec-08	
11 S A	Divisional	Granted	<b>08/142568</b>	28-Oct-93	94Z0UZ1	27-Juli-90	Z1-DCC-00	

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#### **APPENDIX A-2**

BA9018	Arthropodicidal	Oxazolines i	and Thiazo	lines			
Country	Туре	Status	Filing No.	Filing date			Expiry
AUSTRALIA		Granted	75128/94	29 <b>-</b> Jul-94	675165	02-Jun- <del>9</del> 7	29-Jul-14
BRAZIL	Pipeline Appn	Publication	PI110114	14-May-97			04-Aug-13
DI O ELIE	•		5.9				00 1-1 44
EUR PATENT	Euro-PCT Appln	Publication	94925087	29-Jul-94			29-Jul-14
FRANCE	Euro-PCT Appin	Designated	94925087	29-Jul-94			29-Jul-14
GREAT BRITAIN	Euro-PCT Appln	Designated	94925087	29-Jul-94			29-Jul-14
GERMANY	<del>_</del>		94925087	29-Jul <b>-</b> 94			29-Jul-14
ITALY	Euro-PCT Appin	Designated	94925087	29-Jul-94			29-Jul-14
SPAIN	Euro-PCT Appln	Designated	94925087				29-Jul-14
JAPAN	PCT Appln	Filed,	506408/95	29-Jul-94			29-Jul-14
NEW ZEALAND	PCT Appln	Granted	271485				29-Jul-14
SOUTH AFRICA	National Appin	Granted	94/5784	_		=	_
U. S. A.	PCT Appln	Granted	08/586797				01-Feb-16
U, S. A.	Divisional	Granted	08/869463	05-Ju⊓-97	5767281	16-Jun-98	01-Feb-16
<u>.</u> ,		: : :					
BA9114	Oxazoline Arthr					40.0	
Country	Туре	Status				Grant date	Expiry
BRAZIL.	PCT Appln	Fileď.	PI970714	07-Jan-97	7		07-Jan-1 <b>7</b>
		1	6.3		-		07 lon 4 <b>7</b>
EUR PATENT	Euro-PCT Appln		97901392				07-Jan-17 07-Jan-17
FRANÇE	Euro-PCT Appln	':  '		07-Jan-97			07-Jan-17 07-Jan-17
GREAT BRITAIN		491		07-Jan-97			07-Jan-17 07-Jan-17
GERMANY	Euro-PCT Appln			07-Jan-97			
GREECE	Euro-PCT Appin	7111		07-Jan-97			07-Jan-17
ITALY	Euro-PCT Appln			07-Jan-97			07-Jan-17
PORTUGAL	Euro-PCT Appln			07-Jan-97			07-Jan-17
SPAIN	Euro-PCT Appin			07-Jan-97			07-Jan-17
JAPAN	PCT Appln	Filed	524643/97				07-Jan-17
KOREA SOUTH	PCT Appin	Filed	98-705423				07-Jan-17
SOUTH AFRICA	National Appln	Granted	97/284			•	
Ų. Š. A.	PCT Appin	Granted	09/101925	5 15-Jul <b>-</b> 98	8 6107319	9 22-Aug-00	15-Jul-18
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BA9139		termediates Status	ior die Fie Siling No	paración or v Siling data	Grant No.	. Grant date	Exniry
Country	Type	Granted	09/308128			2 16-May-00	
U. S. A.	PCT Appln	Granteu	09/300120	J 10-May-5	5 5555565.	_ io ividy-or	,

Purdue Research Foundation • 6

## APPENDIX B-1 KNOW-HOW FOR SEMICARBAZONE TECHNOLOGY

- Insecticide Candidate 78069 and Its Analogs Laboratory and Greenhouse Biological Data Summary, September 30, 2000.
- 2. Insecticide Candidate 78069 Field Biology Data Summary, September 15, 2000.
- Insecticide Candidate 78069 Toxicology, Ecotoxicology, and Environmental Studies Data Summary, September 30, 2000.
- 4. Process Chemistry Summary Report 78069, Stephen L. Hartzell, January 12, 2001.
- 5. 78069 Study Record, W. E. Harris, November 24, 1992.
- 6. 78069 Raw Data, Binder #1.
- 7. Metabolism of DPX-78069 in Potatoes (DuPont Protocol No. AMR 2461-92.)

#### **APPENDIX B-2** KNOW-HOW FOR OXAZOLINE TECHNOLNOLOGY

- 1. Insecticide Candidate MJ644 and Its Analogs Laboratory and Greenhouse Biological Data Summary.
- 2. Insecticide Candidate MJ644 and Related Compounds Field Biology Data Summary.
- 3. Insecticide Candidate MJ644 and Related Compounds Toxicology, Ecotoxicology, and Environmental Studies Data Summary.
- 4. Process Chemistry Summary Report MJ644, Stephen L. Hartzell.

**PATENT** 

**REEL: 012145 FRAME: 0433** 



ESTABLISHED 1802

E. I. DU PONT DE NEMOURS & COMPANY

INCORPORATED

WILMINGTON, DELAWARE 19898

Thomas S. Woods
Crop Protection Chemicals Division, S315/1312
E. I. du Pont de Nemours and Company
Stine-Haskell Research Center
Elkton Road
P.O. Box 30
Newark, Delaware 19714-0030

Phone: (302) 451-3365 Fax: (302) 451-3570

September 10, 2001

Dr. John Synder
Associate Director
Office of Technology Commercialization
Purdue Research Foundation
1291 Cumberland Avenue
West Lafayette, IN 47906

Dear John:

We propose amending Appendix A-2 of the Intellectual Property Donation Agreement between E. I. du Pont de Nemours and Company (DuPont) and Purdue Research Foundation (PRF) effective June 25, 2001, to add two additional countries to the patent schedule for BA9018 and to correct a typographical error in the filing number for BA9114. If the attached amended Appendix A-2 meets with your approval, please have the appropriate representative sign and date below to show PRF's acceptance. This amendment will be effective as of June 25, 2001, the effective date of the Intellectual Property Donation Agreement.

Very truly yours,

Thomas S. Woods

ACCEPTED:

PURL	DUE RESEARCH FOUND!	AHQIN	
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,	EHZabsth J. d Name <u>Azotokan: We</u>	=	ig ' <del>Li ia</del> a#
Title	and Director	به دعا و چي ر الا ال	
Date	10/3/01	-	!

	T DE NEMOURS & CO	DMPANY
By M	uns cBor	ul
Deigtod Name	James C. Borel	
Title <u>Vice-Pre</u>	sident and General M	<u>anager</u>
Date	9/27/01	

#### **APPENDIX A2**

BA9018	Arthropodicidal	Oxazolines	and				
	Thiazolines		Filing No.	Filing date	Grant No	Grant date	Expirv
Country	Type	Status	75128/94	29-Jul-94	675165	02-Jun-97	29-Jul-14
AUSTRALIA	PCT Appln	Granted		14-May-97	0,0105		04-Aug-13
BRAZIL	Pipeline Appn	Publication	PI1101145.9	29-Jul-94			29-Jul-14
EUR PATENT	Euro-PCT Appln	Publication	94925087.2	29-Jul-94			29-Jul-14
FRANCE	Euro-PCT Appin	Designated	94925087.2				29-Jul-14
GREAT BRITAIN	Euro-PCT Appln	Designated	94925087.2	29-Jul-94			29-Jul-14
GERMANY	Euro-PCT Appln	Designated	94925087.2	29-Jul-94			29-Jul-14
GREECE	Euro-PCT Appin	Designated	94925087.2	29-Jul-94			29-Jul-14
ITALY	Euro-PCT Appin	Designated	94925087.2	29-Jul-94			29-Jul-14
PORTUĞAL	Euro-PCT Appln	Designated	94925087.2	29-Jul-94			
SPAIN	Euro-PCT Appln	Designated	94925087.2	29-Jul-94			29-Jul-14
JAPAN	PCT Appln	Filed	506408/95	29 <b>-</b> Jul-94			29-Jul-14
NEW ZEALAND	PCT Appin	Granted	271485	29-Jul-94	271485		29-Jul-14
SOUTH AFRICA	National Appln	Granted	94/5784	03-Aug-94		24-Apr-96	03-Aug-14
U. S. A.	PCT Appin	Granted	08/586797	01-Feb-96	5686393		01-Feb-16
U. S. A.	Divisional	Gränted	08/869463	05-Jun-97	5767281	16-Jun-98	01-Feb-16
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		41'					
BA9114	Oxazoline Arthr	opödicides		_			<b></b>
BA9114 Country	Oxazoline Arthr	opodicides Status	Filing No.	Filing date	Grant No.	Grant date	Expiry
Country	Type PCT Appin	Status Filed	PI9707146.3	07-Jan-97		Grant date	07-Jan-17
Country BRAZIL	Type PCT Appin	Status Filed		07-Jan-97 07-Jan-97		Grant date	07-Jan-17 07-Jan-17
Country BRAZIL EUR PATENT	Type PCT Appln Euro-PCT Appln	Status Filed Publication	PI9707146.3	07-Jan-97 07-Jan-97 07-Jan-97		Grant date	07-Jan-17 07-Jan-17 07-Jan-17
Country BRAZIL EUR PATENT FRANCE	Type PCT Appin Euro-PCT Appin Euro-PCT Appin	Status Filed Publication Filed	PI9707146.3 97901391.9	07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97		Grant date	07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17
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Country BRAZIL EUR PATENT FRANCE GREAT BRITAIN GERMANY GREECE ITALY PORTUGAL SPAIN	Type PCT Appin Euro-PCT Appin	Status Filed Publication Filed Filed Filed Filed Filed Filed Filed Filed Filed	PI9707146.3 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9	07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97		Grant date	07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17
Country BRAZIL EUR PATENT FRANCE GREAT BRITAIN GERMANY GREECE ITALY PORTUGAL SPAIN JAPAN	Type PCT Appin Euro-PCT Appin	Status Filed Publication Filed	PI9707146.3 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9	07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97		Grant date	07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17
Country BRAZIL EUR PATENT FRANCE GREAT BRITAIN GERMANY GREECE ITALY PORTUGAL SPAIN JAPAN KOREA SOUTH	Type PCT Appin Euro-PCT Appin PCT Appin	Status Filed Publication Filed	PI9707146.3 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9 524643/97	07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97		Grant date	07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 14-Jan-17
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Country BRAZIL EUR PATENT FRANCE GREAT BRITAIN GERMANY GREECE ITALY PORTUGAL SPAIN JAPAN KOREA SOUTH	Type PCT Appin Euro-PCT Appin PCT Appin	Status Filed Publication Filed	PI9707146.3 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9 524643/97 98-705423	07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97	97/284	30-Sep-98	07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 14-Jan-17
Country BRAZIL EUR PATENT FRANCE GREAT BRITAIN GERMANY GREECE ITALY PORTUGAL SPAIN JAPAN KOREA SOUTH SOUTH AFRICA U. S. A.	Type PCT Appin Euro-PCT Appin PCT Appin PCT Appin National Appin PCT Appin	Status Filed Publication Filed Granted Granted	PI9707146.3 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9 97901391.9 524643/97 98-705423 97/284 09/101925	07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 07-Jan-97 14-Jan-97	97/284 610731	30-\$ep-98 9 22-Aug-00	07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 07-Jan-17 14-Jan-17
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