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FORM PTO-1596
1-31-92

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U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Docket No.: 50229-267

101929553

To the Honorable Commissioner for Patents and Trademarks: Please record the attached original documents or copy thereto:

1. Name of Conveying Party(ies):

Peter A. CROOKS, Aimee K. BENICE and David R.
WORTHENAdditional name(s) of conveying party(ies) attached? ☐ Yes

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other

Execution Date: November 16, 2001

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

Name: UNIVERSITY OF KENTUCKY RESEARCH
FOUNDATIONAddress: A144 AStCC Building
University of Kentucky
Lexington, Kentucky 40506-0286Additional name(s) & address(es) attached? ☐ Yes

4. Application number(s) or patent number(s):

If the document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s).

09/881,215, filed June 15, 2001

B. Patent No(s).

Additional numbers attached? ☐ Yes

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

Name: MCDERMOTT, WILL & EMERY

Internal Address:

Street Address: 600 13th Street, N.W.

City: Washington State: DC Zip: 20005

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. Deposit account number:

500417

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.

Daniel Bucca 42,368 for

Robert L. Price, 22,685

December 27, 2001

Name and Registration No. of Person Signing

Signature

Date

Total number of pages comprising cover sheet: 1

CMB No. 0851-0011 (exp. 4/94)

01/02/2002 AWVED1 00000089 500417 09881215
01 FC:581 40.00 CH

PATENT
REEL: 012404 FRAME: 0240

ASSIGNMENT

WHEREAS WE, Peter A. Crooks of 3233 Raven Circle, Lexington, Kentucky 40502, Aimee K. Bence of 435 A Darby Creek, Lexington, Kentucky 40509 and David R. Worthen of 1234 Man O'War Place #27, Lexington, Kentucky 40504, respectively, have made a certain new and useful invention as set forth in an application for United States Letters Patent, entitled AGMATINE, AND AGMATINE ANALOGS IN THE TREATMENT OF EPILEPSY, SEIZURE, AND ELECTROCONVULSIVE DISORDERS, for which an application for United States Letters Patent was filed on June 15, 2001, and identified by United States Serial No. 09/881,215;

AND WHEREAS, UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION, a corporation of the Commonwealth of Kentucky and having an address of A144 ASTeCC Building, University of Kentucky, Lexington, Kentucky 40506-0286 is desirous of acquiring the entire right, title and interest in and to said invention and in and to any and all Letters Patent of the United States and foreign countries which may be obtained therefor;

NOW, THEREFORE, for good and valuable consideration, the receipt for and sufficiency of which is hereby acknowledged, We do hereby sell, assign, transfer and set over unto UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION, its legal representatives, successors, and assigns, the entire right, title and interest in and to said invention as set forth in the above-mentioned application, including the right of priority and including any continuations, continuations-in-part, divisions, reissues, re-examinations or extensions thereof, and in and to any and all patents of the United States and foreign countries which may be issued for said invention;

UPON SAID CONSIDERATIONS, We hereby agree with the said assignee that We will not execute any writing or do any act whatsoever conflicting with these presents, and that We will, at any time upon request, without further or additional consideration but at the expense of said assignee, execute such additional assignments and other writings and do such additional acts as said assignee may deem necessary or desirable to perfect the assignee's enjoyment of this grant, and render all necessary assistance in making application for and obtaining original, divisional, continuations, continuations-in-part, reexamined, reissued, or extended Letters Patent of the United States or of any and all foreign countries on said invention, and in enforcing any rights or choses in action accruing as a result of such applications or patents, by giving testimony in any proceedings or transactions involving such applications or patents, and by executing preliminary statements and other affidavits, it being understood that the foregoing covenant and agreement shall bind, and inure to the benefit of the assigns and legal representatives of assignor and assignee;

AND We request the Commissioner for Patents and Trademarks to issue any Letters Patent of the United States which may be issued for said invention to said UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION, its legal representatives, successors or assigns, as the sole owner of the entire right, title and interest in and to said patent and the invention covered thereby.

November 16th, 2001
Date

NOVEMBER 16, 2001
Date

NOVEMBER 16, 2001
Date

Peter A. Crooks
Peter A. Crooks

Aimee K. Bence
Aimee K. Bence

David R. Worthen
David R. Worthen

STATE OF Kentucky)

COUNTY OF Fayette) SS:

On this 16th day of November, 2001, before me personally appeared Peter Crooks, to me known to be the person named in and who executed the above instrument, and acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

Belinda L. Morgan
Notary Public

S E A L

My commission expires August 26, 2004

STATE OF Kentucky)

COUNTY OF Fayette) SS:

On this 16th day of November, 2001, before me personally appeared Aimee Bence, to me known to be the person named in and who executed the above instrument, and acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

Belinda L. Morgan
Notary Public

S E A L

My commission expires August 26, 2004

STATE OF Kentucky)

COUNTY OF Fayette) SS:

On this 16th day of November, 2001, before me personally appeared David Worthen, to me known to be the person named in and who executed the above instrument, and acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

Belinda L. Morgan
Notary Public

S E A L

My commission expires August 26, 2004