

01-23-2002

R SHEET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office



To the Honorable Commissioner of

101956752

attached original documents or copy thereof.

1. Name of conveying party(ies):

Stephen M. Strittmatter

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

3. Nature of conveyance:

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

Execution Date(s): October 5, 2001

2. Name and address of receiving party(ies)

Name: Yale University

Internal Address: \_\_\_\_\_

Street Address: 541 College Street

City: New Haven State: CT ZIP: 06520

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(s) of the application is/are:

and the attorney docket number is: CO77 CIP

A. Patent Application No.(s)

09/972,599 filed October 6, 2001

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: James F. Haley, Jr.  
Fish & Neave

Internal Address: \_\_\_\_\_

Street Address: 1251 Avenue of the Americas

City: New York State: NY ZIP: 10020-1104

3. 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

☒ Charge excess/credit overpayment to deposit account

8. Deposit account number:

06-1075

(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.*

Barbara A. Ruskin  
Name of Person Signing

Barbara Ruskin  
Signature

November 16, 2001  
Date

Reg. No. 39,350

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

4

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

01/22/2002 GTOM11 00000219 09972599

01 FC:581

40.00 DP

PATENT  
REEL: 012476 FRAME: 0747

ASSIGNMENT

I,

(1) Stephen M. Strittmatter;

residing at

(1) 26 Pleasant Valley Road, Clinton, Connecticut (U.S.A.) 06413;

for good and valuable consideration, receipt of which is hereby acknowledged, have assigned, sold and transferred to and do hereby assign, sell and transfer to YALE UNIVERSITY, a corporation organized under the state of Connecticut and having an office and a place of business at 541 College Street, New Haven, Connecticut 06520, its successors and assigns: (1) the entire right, title and interest in the United States and in and to any and all my inventions and discoveries disclosed in the application for Letters Patent in the United States entitled: "NOGO RECEPTOR-MEDIATED BLOCKADE OF AXONAL GROWTH" and filed in the United States Patent and Trademark Office on October 6, 2001, under Serial Number 09/972,599,\* including any renewals, revivals, reissues, reexaminations, extensions, continuations and divisions thereof, and any substitute applications therefor; (2) the full and complete right to file patent applications in the name of YALE UNIVERSITY its designee, or in my name at YALE UNIVERSITY's or its designee's election, on the aforesaid inventions, discoveries and applications in the United States; (3) the entire right, title and interest in and to any Letters Patent which may issue thereon in the United States and any renewals, revivals, reissues, reexaminations and extensions of the same; and (4) the entire right, title and interest in all Convention and Treaty Rights of all kinds thereon, including without limitation all rights of priority in the United States, in and to the above inventions, discoveries and applications.

I hereby authorize and request the competent authorities to grant and to issue any and all such Letters Patent in the United States to YALE UNIVERSITY as

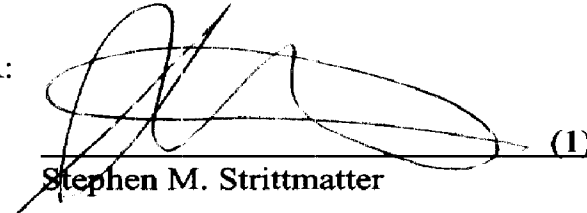
\* I hereby authorize and request YALE UNIVERSITY and its representatives to insert in this instrument the application number and filing date of said application when known.

the assignee of the entire right, title and interest therein, as fully and entirely as the same would have been held and enjoyed by me had this assignment, sale and transfer not been made.

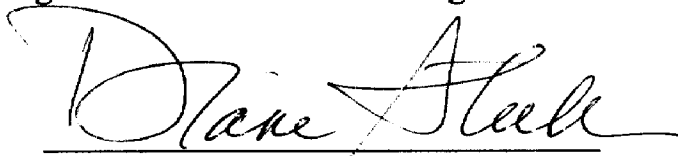
I agree, at any time, upon the request of YALE UNIVERSITY to execute and to deliver to YALE UNIVERSITY any additional applications for patents for said inventions and discoveries, or any part or parts thereof, and any applications for patents of confirmation, registration and importation based on any Letters Patent issuing on said inventions, discoveries or applications, and divisions, continuations, renewals, revivals, reissues, reexaminations and extensions thereof.

I further agree at any time to execute and to deliver upon request of YALE UNIVERSITY such additional documents, if any, as are necessary or desirable to secure patent protection on said inventions, discoveries and applications in the United States, and otherwise to do the necessary to give full effect to and to perfect the rights of YALE UNIVERSITY under this Assignment, including the execution, delivery and procurement of any and all further documents evidencing this assignment, transfer and sale as may be necessary or desirable.

ASSIGNOR:

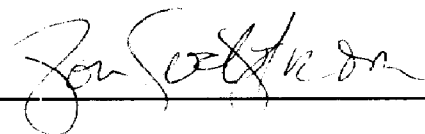
  
\_\_\_\_\_  
Stephen M. Strittmatter (1)

On this 5<sup>TH</sup> day of OCT, 2001, (1) Stephen M. Strittmatter personally appeared before me, a Notary Public in and for the State of CT, and duly acknowledged the executed Assignment on behalf of the Assignee.

  
\_\_\_\_\_  
Notary Public

ACKNOWLEDGMENT OF ASSIGNEE:

YALE UNIVERSITY

By: 

Name: Jon Soderstrom

Title: Managing Director  
Office of Cooperative Research

On this 17th day of October, 2001, Jon Soderstrom personally appeared before me, a Notary Public in and for the State of CT, and duly acknowledged the executed Assignment on behalf of the Assignee.

  
Notary Public

**ALEXIS L. FLINT**  
**NOTARY PUBLIC**  
**MY COMMISSION EXPIRES DEC. 31, 2004**