

02-14-2002

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Patent and Trademark Office  
Docket No. 220002060725

101982961

1.2402

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

1. Name of conveying party(ies):  
Michael J. MAHAN, Douglas M. HEITHOFF, David A. LOW,  
Robert L. SINSHEIMER

- ☒ Individual(s)      ☐ Association  
☐ General Partnership      ☐ Limited Partnership  
☐ Corporation-State      ☐ Other

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

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

Name: The Regents of the University of California  
Internal Address:  
Street Address: 1111 Franklin Street, 12th Floor  
City: Oakland, State: CA ZIP: 94607-5200

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

3. Nature of conveyance:

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

Execution Date: Michael J. MAHAN: 11/2/01; Douglas M. HEITHOFF:  
11/2/01; David A. LOW: 11/8/01; Robert L. SINSHEIMER: 11/5/01

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:

A. Patent Application No.(s)

09/928,227

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Catherine M. Polizzi  
Morrison & Foerster LLP  
755 Page Mill Road  
Palo Alto, California 94304-1018

6. Total number of applications and patents involved: 1

7. Total fee (37 C.F.R. § 3.41): \$40.00

- ☐ Enclosed  
☒ Authorized to be charged to deposit account, referencing  
Attorney Docket 220002060725

8. Deposit account number: 03-1952

The Commissioner is hereby authorized to charge any fees under 37 C.F.R. § 1.21 that may be required by this paper, or to credit any overpayment to Deposit Account No. 03-1952.

**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.

Name: Shantanu Basu  
Registration No: 43,318

Signature

December 19, 2001

Date

Total number of pages comprising cover sheet, attachments and document: 3

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

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02/13/2002 AMMED1 00000127 031952 09928227

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pa-652743

**PATENT**  
**REEL: 012561 FRAME: 0373**

## ASSIGNMENT

UC Case No.: 1999-128-7

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Michael J. MAHAN; 5333 Cameo Paseo, Santa Barbara, California, 93111
2. Douglas M. HEITHOFF; 785 Camino del Sur, #320, Goleta, California 93117
3. David A. LOW; 6089 La Goleta Road, Goleta, California 93117
4. Robert L. SINSHEIMER; 4606 Via Cayente, Santa Barbara, California 93110

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

### METHOD OF REDUCING BACTERIAL PROLIFERATION

and which is found in

- (a) \_\_\_\_\_ U.S. provisional application filed herewith and listing the above named persons as inventors
- (b) \_\_\_\_\_ U.S. patent application filed herewith and listing the above named persons as inventors
- (c)   X   U.S. application serial no. 09/928,227 filed August 9, 2001
- (d) \_\_\_\_\_ U.S. Patent No.: \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenant(s) that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this


2 day of Nov, 2001

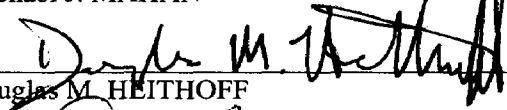
2<sup>nd</sup> day of Nov, 2001

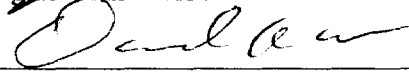
8<sup>th</sup> day of NOV, 2001

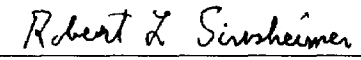
5<sup>th</sup> day of Nov., 2001

Signature of Inventor(s)

  
Michael J. MAHAN

  
Douglas M. HEITHOFF

  
David A. LOW

  
Robert L. SINSHEIMER