

03-06-2002

U.S. Department of Commerce
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102004050

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PATENT

2-26-02

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- ☒ New *2-26-02*
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Document ID#
- ☐ Correction of PTO Error
Reel # Frame #
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Conveyance Type

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

U.S. Government
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☐ Departmental File ☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Name (line 1) William FENICAL

Execution Date
Month Day Year
1/31/02

Name (line 2)

Second Party

Name (line 1) Paul R. JENSEN

Execution Date
Month Day Year
1/31/02

Name (line 2)

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1) The Regents of the University of California

Name (line 2)

Address (line 1) 111 Franklin Street

Address (line 2) 5th Floor

Address (line 3) Oakland
City

CA
State/Country

94607-5200
Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

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Mail documents to be recorded with required cover sheet(s) information to:
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PATENT
REEL: 012626 FRAME: 0183

Correspondent Name and Address

Area Code and Telephone Number

238-0999

Name

Colleen J. McKiernan

Address (line 1)

Brown Martin Haller & McClain

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1660 UNION STREET

Address (line 3)

SAN DIEGO, CALIFORNIA 92101

Address (line 4)

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

#

Application Number(s) or Patent Number(s)

☐

Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

09/991,518

Patent Number(s)

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

Patent Cooperation Treaty (PCT)

Enter PCT application number
only if a U.S. Application Number
has not been assigned.

PCT

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Number of Properties

Enter the total number of properties involved.

#

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$

40.00

Method of Payment:

Enclosed

☒

Deposit Account

☐

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

#

02-4070

Authorization to charge additional fees:

Yes

☒

No

☐

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. Charges to deposit account are authorized, as indicated herein.

Colleen J. McKiernan

Signature

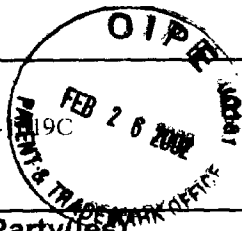
February 12, 2002

Name of Person Signing

Date

PATENT

REEL: 012626 FRAME: 0184



RECORDATION FORM COVER SHEET
CONTINUATION
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U.S. Department of Commerce
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PATENT

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1) Tracy J. MINCER

Execution Date
Month Day Year

2/1/02

Name (line 2)

Execution Date
Month Day Year

Name (line 1)

Name (line 2)

Name (line 1)

Name (line 2)

Execution Date
Month Day Year

Receiving Party(ies)

☐ Mark if additional names of receiving parties attached

Enter additional Receiving Party(ies)

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

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Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

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Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

ASSIGNMENT

U.C. Case No. 6627-PA1022

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

1. William Fenical

2. Paul R. Jensen

3. Tracy J. Mincer

4. _____

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, 5th 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:

MARINE ACTINOMYCETE TAXON FOR DRUG AND FERMENTATION PRODUCT DISCOVERY

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 executed on _____, entitled as above and listing the above named persons as inventors.

(c) X U.S. application serial no. 09/991,518, filed on November 16, 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 from 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 release, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants 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 covenants 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) requests 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

31 day of January, 20

31 day of January, 20

1 day of Feb February 20

____ day of _____, 20

Signature of Inventor(s)

William Fenical

P. R. Jensen

Tracy J. Mincer
