

03-07-2002



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ENT AND TRADEMARK OFFICE

In Re the Application of:

DUKE et al.

Serial No.: 09/991,363

Filed: November 15, 2001

Atty. File No.: 3923-3

For: "YEAST-DENDRITIC CELL  
VACCINES AND USES THEREOF"

BOX ASSIGNMENTS  
Commissioner of Patents  
Washington, D.C. 20231

Dear Sir:

Please record the attached original documents or copy thereof:

1. Name of conveying party(ies):

Richard C. Duke  
Donald Bellgrau  
Alex Franzusoff

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

Ceres Pharmaceuticals, Ltd. d/b/a GlobeImmune, Inc.  
1899 Gaylord Street  
Denver, Colorado 80206

3. Nature of Conveyance:

<input checked="" type="checkbox"/>	Assignment	<input type="checkbox"/>	Merger
<input type="checkbox"/>	Security Agreement	<input type="checkbox"/>	Change of Name
<input type="checkbox"/>	Other: _____		

Execution Date: 1/25/02

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:

RECORDATION OF ASSIGNMENT

CERTIFICATE OF MAILING
I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231 ON <u>2/8/02</u> SHERIDAN ROSS P.C.
BY: <u>[Signature]</u>

FEB

PATENT  
REEL: 012628 FRAME: 0433

03/06/2002 LHMILLER 00000057 09991363  
01 FC:561  
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A. Patent Application No.(s): 09/991,363

B. Patent No.(s): None.

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

Angela K. Dallas  
Sheridan Ross P.C.  
1560 Broadway, Suite 1200  
Denver, Colorado 80202-5141

6. Total number of applications and patents involved: 1.

7. Total fee (37 CFR 3.41).....\$40.00.

☒ Enclosed

☒ Any deficiency in payment of recording fee is authorized to be charged to Deposit Account.

☐ Authorized to be charged to deposit account.

8. Deposit account number: 19-1970.

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.

Total number of pages including cover sheet, attachments and document: 4

Respectfully submitted,

SHERIDAN ROSS P.C.

By: Angela Dallas  
Angela K. Dallas  
Registration No. 42,460  
1560 Broadway, Suite 1200  
Denver, CO 80202-5141  
(303) 863-9700

Date: February 7, 2002

# ASSIGNMENT


WHEREAS, we, Richard C. Duke of 934 S. Josephine Street, Denver, Colorado 80209, Donald Bellgrau of Box 23122, Silverthorne, Colorado 80498, and Alex Franzusoff of 860 Ogden Street, Denver, Colorado 80218, together with Cara C. Wilson of 966 Dogwood Drive, Golden, Colorado 80401 have invented a certain new and useful invention entitled "YEAST-DENDRITIC CELL VACCINES AND USES THEREOF", for which an application for Letters Patent of the United States has been prepared and filed on November 15, 2001, receiving Serial No. 09/991,363, and further identified as Attorney File No. 3923-3;

NOW THEREFORE, be it known that we, the said inventors, for and in consideration of certain good and valuable consideration, the sufficiency and receipt of which is hereby acknowledged, at the request of the assignee do sell, assign and transfer unto said assignee, Ceres Pharmaceuticals, Ltd., d/b/a GlobeImmune, Inc., having a place of business at 1899 Gaylord Street, Denver, Colorado 80206, its successors, legal representatives and assigns, the aforesaid application for the territory of the United States of America and all continuation, divisional, continuation-in-part and reissue applications, all patent applications in foreign countries, all applications pursuant to the Patent Cooperation Treaty, and all applications for extension filed or to be filed for the invention, and all Letters Patent, Invention Registrations, Utility Models, Extensions or Reissues and other patent rights, obtained for the invention in the United States or any other country; we also assign any right, title or interest in and to the invention which has not already been transferred to the assignee; we warrant that we have made no assignment of the invention, application or patent therefor to a party other than Ceres Pharmaceuticals, Ltd., d/b/a GlobeImmune, Inc., and we are under no obligation to make any assignment of the invention, application, or patent therefor to any other party; and we further agree to cooperate with the assignee hereunder in the obtaining and sustaining of any and all such Letters Patent and in confirming assignee's exclusive ownership of the invention, but at the expense of said assignee.

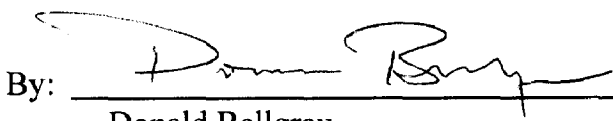
The Commissioner of Patents is hereby authorized and requested to issue the Letters Patent solely in accordance with the terms of this Assignment, to Ceres Pharmaceuticals, Ltd., d/b/a GlobeImmune, Inc., its successors, legal representatives and assigns, as the assignee of an equal, undivided right, title and interest therein.

IN WITNESS WHEREOF, the parties hereto have executed this Assignment as of the date indicated hereunder.

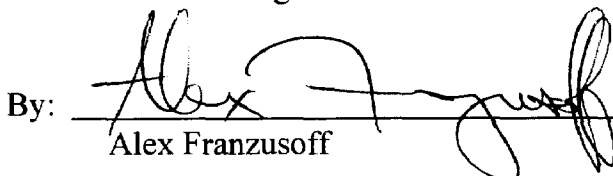
Date: 1-24<sup>5 PD</sup>-2002

By:   
Richard C. Duke

Date: 1/25/02

By:   
Donald Bellgrau

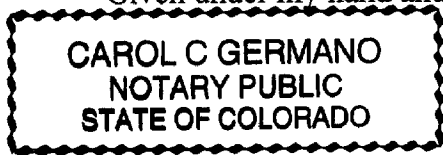
Date: 25 Jan 2002

By:   
Alex Franzusoff

STATE OF COLORADO     )  
                                      ) ss.  
COUNTY OF                     )

Before me, a Notary Public in and for said County and State, personally appeared Richard C. Duke, known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same for the purposes and considerations therein expressed.

Given under my hand and seal of office this 25 day of January, 2002.



My Commission Expires 6/20/2005

Carol C Germano  
Notary Public  
My commission expires: 6/20/2005

STATE OF COLORADO     )  
                                      ) ss.  
COUNTY OF                     )

Before me, a Notary Public in and for said County and State, personally appeared Donald Bellgrau, known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same for the purposes and considerations therein expressed.

Given under my hand and seal of office this 25 day of January, 2002.



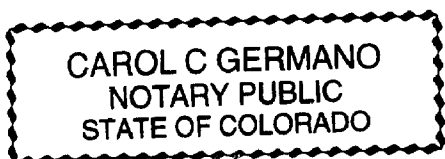
My Commission Expires 6/20/2005

Carol C Germano  
Notary Public  
My commission expires: 6/20/2005

STATE OF COLORADO     )  
                                      ) ss.  
COUNTY OF                     )

Before me, a Notary Public in and for said County and State, personally appeared Alex Franzusoff, known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same for the purposes and considerations therein expressed.

Given under my hand and seal of office this 25 day of January, 2002.



My Commission Expires 6/20/2005

Carol C Germano  
Notary Public  
My commission expires: 6/20/2005