

3/4/02

03-19-2002



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DEPT OF COMMERCE

Patent and Trademark Office

**Recordation Form Cover Sheet**

To the Honorable Commissioner of Patents and Trademarks. Please record the attached documents.

1. Name of conveying party(ies):  
**Laurence Andrew Ball**  
**Kyle Leslie Johnson**  
**Karyn Nicole Johnson**  
**B. Duane Price**

2. Name and address of receiving party(ies):  
Name: **The UAB Research Foundation**  
Address: **701 20th Street South, Birmingham, AL 35294-0111**

Additional names of conveying party(ies) attached?  
 NO  YES

3. Nature of Conveyance:  Assignment  Merger  Security Agreement  Change of Name  OTHER \_\_\_\_\_  
Additional names & addresses attached?  NO  YES

Execution Date(s): February 19, 2002.

4. Application number(s) or patent number(s): **09/595,346**  
Additional numbers attached?  NO  YES

5. Name and address of party to whom correspondence concerning document should be mailed:  
Name: **Dr. Benjamin A. Adler**  
**ADLER & ASSOCIATES**  
Address: **8011 Candle Ln. Houston, Texas 77071**

6. Total number of applications and patents involved: 1

7. Total Fee (37 CFR 3.41):.....\$**40.00**  enclosed  authorized to charge deposit account

8. Deposit Account number: 07-1185 (duplicate copy attached if paying by deposit account)

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.*

**Benjamin Aaron Adler Ph.D., J.D.**  
Name of person signing

Signature

2/24/02  
Date

Total number of pages comprising cover sheet: 1 \_

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## ASSIGNMENT

WHEREAS, we, **Laurence Andrew Ball**, of 2845 Argyle Road, Birmingham, AL 35213, **Kyle Leslie Johnson**, of 1204 Altadena Rise, Birmingham, AL 35242, **Karyn Nicole Johnson**, of 1301 27th Place South, Apt # 1, Birmingham, AL 35205, **B. Duane Price**, of 2309 English Village Lane, Mountain Brook, AL 35223, (hereinafter collectively called "ASSIGNORS"), are co-inventors and owners of certain new and useful improvements in *Nodavirus-Like DNA Expression Vector And Uses Thereof*, an application for United States Letters Patent as filed June 14, 2000 as United States Serial No. 09/595,346.

WHEREAS, **University of Alabama at Birmingham Research Foundation**, of 701 20<sup>th</sup> Street South, Birmingham, AL 35294-0111, (hereinafter called "ASSIGNEE"), is desirous of acquiring, and ASSIGNOR are desirous of assigning to ASSIGNEE, all right, title and interest in and to said invention and application identified above.

NOW, THEREFORE, ASSIGNORS, for and in consideration of Ten Dollars (\$10.00) to us in hand paid, and for other good and valuable consideration, the receipt of all of which is hereby acknowledged, do hereby sell, assign and convey upon ASSIGNEE and its successors the entire right, title and interest throughout the world in the inventions and improvements which are the subject of an application for United States Patent signed by me, this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in my name or in its own name for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for us and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

And we do further covenant and agree that we will, at any time upon request, communicate to the Assignee, its successors, assigns or other legal representative, such facts relating to said invention and Letters Patent or the file history thereof as may be known to us, and testify as to the same in any interference or other litigation when requested, without further compensation but at the expense of said Assignee, its successors or other legal representatives.

DATE: Feb 19th 2002

L.A. Ball

**Laurence Andrew Ball**

STATE OF Alabama:

COUNTY OF Jefferson:

Before me this 19<sup>th</sup> day of February, 2002, personally appeared Laurence Andrew Ball known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.

Notary Public Graig B. Perkins

My Commission Expires:

NOTARY PUBLIC STATE OF ALABAMA AT LARGE  
MY COMMISSION EXPIRES: Apr. 28, 2003  
BONDED THRU NOTARY PUBLIC UNDERWRITERS

DATE: 2/19/2002

Kyle Leslie Johnson  
**Kyle Leslie Johnson**

STATE OF Alabama:

COUNTY OF Jefferson:

Before me this 19<sup>th</sup> day of February, 2002, personally appeared Kyle Leslie Johnson known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.

Notary Public Graig B. Perkins

My Commission Expires:

NOTARY PUBLIC STATE OF ALABAMA AT LARGE  
MY COMMISSION EXPIRES: Apr. 28, 2003  
BONDED THRU NOTARY PUBLIC UNDERWRITERS

DATE: Feb 19th 2002

Karyn Nicole Johnson  
**Karyn Nicole Johnson**

STATE OF Alabama :

COUNTY OF Jefferson :

Before me this 19th day of February, 2002, personally appeared Karyn Nicole Johnson known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.

Notary Public Greg B. Perkins

My Commission Expires:

NOTARY PUBLIC STATE OF ALABAMA AT LARGE  
MY COMMISSION EXPIRES: Apr. 28, 2005  
BONDED THROUGH NOTARY PUBLIC UNDERWRITERS

DATE: Feb. 19, 2002

B. Duane Price  
**B. Duane Price**

STATE OF Alabama :

COUNTY OF Jefferson :

Before me this 19th day of February, 2002, personally appeared B. Duane Price known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.

Notary Public Greg B. Perkins

My Commission Expires:

NOTARY PUBLIC STATE OF ALABAMA AT LARGE  
MY COMMISSION EXPIRES: Apr. 28, 2003  
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