

03-21-2002



102026642

SHEET

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

- New 3.4.02
- Resubmission (Non-Recordation)
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**
(For Use ONLY by U.S. Government Agencies)
- Departmental File Secret File

Conveying Party(ies)

Mark if additional names of conveying parties attached

Name (line 1) <input type="text" value="Dawn Marchadier"/>	Execution Date	Month Day Year
		<input type="text" value="4/29/1999"/>
Name (line 2) <input type="text"/>		
Second Party		
Name (line 1) <input type="text" value="Cyrille Maugeais"/>	Execution Date	Month Day Year
		<input type="text" value="4/29/1999"/>
Name (line 2) <input type="text"/>		

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Mark if additional names of receiving parties attached

Name (line 1) <input type="text" value="The Trustees of the University of Pennsylvania"/>	<input type="checkbox"/>	<small>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.)</small>
Name (line 2) <input type="text"/>		
Address (line 1) <input type="text" value="University of Pennsylvania, Center for Technology Transfer"/>		
Address (line 2) <input type="text" value="3700 Market Street, Suite 300"/>		
Address (line 3) <input type="text" value="Philadelphia"/>	<input type="text" value="PA"/>	<input type="text" value="19104-3147"/>
<small>City</small>	<small>State/Country</small>	<small>Zip Code</small>

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

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03/20/2002 DBYRNE 00000302 09277401
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Mail documents to be recorded with required cover sheet(s) information to:

Correspondent Name and Address

Area Code and Telephone Number

(215) 923-4466

Name **Gene J. Yao**

Address (line 1) **Synnestvedt & Lechner LLP**

Address (line 2) **2600 Aramark Tower**

Address (line 3) **1101 Market Street**

Address (line 4) **Philadelphia, PA 19107-2950**

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

2

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)

09/277,401

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.

1

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:

19-5425

Authorization to charge additional fees:

Yes

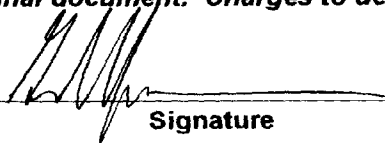
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Statement and Signature

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.

Gene J. Yao

Name of Person Signing



Signature

FEBRUARY 22, 2002

Date

RECORDATION FORM COVER SHEET
CONTINUATION
PATENTS ONLY

Conveying Party(ies)

Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1)	Daniel J. Rader	Execution Date Month Day Year 04/29/1999
Name (line 2)		
Name (line 1)		
Name (line 2)		
Name (line 1)		
Name (line 2)		

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Name (line 2)		
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Address (line 2)		
Address (line 3)	City State/Country Zip Code	

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 AND AGREEMENT

For value received and intending to be legally bound, we, the undersigned joint inventor(s) (Assignor(s)), sell, assign and transfer to THE TRUSTEES OF THE UNIVERSITY OF PENNSYLVANIA (Assignee), University of Pennsylvania, Office of Research Administration, Suite 300, 133 South 36th Street, Philadelphia, Pennsylvania, 19104-3246, United States of America, and its successors, assigns and legal representatives, the entire right, title and interest in and to our invention and any improvements thereon for all countries of the world, relating in and to the application for United States Letters Patent therefor, assigned Attorney Docket No. A3251 and (if filed prior to the execution hereof) filed on _____, as Serial No. _____, entitled

COMPOSITIONS AND METHODS FOR EFFECTING THE LEVELS OF HIGH DENSITY LIPOPROTEIN (HDL) CHOLESTEROL AND APOLIPOPROTEIN AI, VERY LOW DENSITY LIPOPROTEIN (VLDL) CHOLESTEROL AND LOW DENSITY LIPOPROTEIN (LDL) CHOLESTEROL

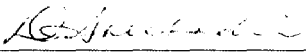
and all the rights and privileges, including any and all benefits under the International Convention for the Protection of Industrial Property, including the right to claim priority based on said United States application, and under any and all Letters Patent which may be granted therefor, and all right, title and interest in and to every patent application filed or to be filed on said invention in any other country or patent organization, including continuations, divisions, renewals, revivals, and any substitute applications of said United States application, and any and all patents which may issue thereon, and any reissues, pipelines and extensions, and governmental exclusivity rights of the same.

We authorize and request competent authorities to grant and issue any and all patents on said invention to said assignee or its successor, assigns and legal representatives, or to such nominees as said assignee may designate.

We agree that, when requested, we will, without charge to said assignee but at its expense, sign all papers, take all rightful oaths, and do all acts which may be necessary, desirable or convenient for securing and maintaining patents for said invention in any and all countries and for vesting title thereto in said assignee, its successors, assigns, legal representatives or nominees.

We covenant with said assignee, its successors, assigns and legal representatives, that the rights and property herein conveyed are free and clear of any encumbrance, and that we have full right to convey the same as herein expressed.

Signed at Philadelphia, PA, USA, on this 29th day of April, 1999.
(City, State and Nation)

Signature: 

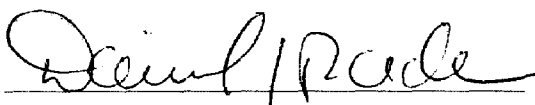
Inventor's Name: Dawn Marchadier
Residential Address: 253 Vista Court
Sickelerville, NJ 08081
U.S.A.

Signed at Philadelphia, on this 29 day of April, 1999.
(City, State and Nation)

Signature: 

Inventor's Name: Cyrille Maugeais
Residential Address: 348 South 15th Street
Philadelphia, PA 19102
U.S.A.

Signed at Philadelphia, PA USA, on this 29th day of April, 1999.
(City, State and Nation)

Signature: 

Inventor's Name: Daniel J. Rader
Residential Address: 101 Acoma Lane
Collegeville, PA 19426
U.S.A.