

03-27-2002

Docket No. 16988(HL)

RI



R SHEET

102033189

OFFICE OF THE COMPTROLLER

2002 MAR 12 PM 2:41

FINANCE SECTION

To: The Commissioner of Patents and Trademarks,

Please record the attached original document(s) or copy(ies):

1. Submission Type:

☐ new

3-12-02

☐ Correction of PTO error (Reel /frame)☒ Corrective Document (Reel 7201/frame 0460)

2. Conveyance Type:

☒ Assignment☐ License☐ Merger☐ Security Agreement☐ Change of Name☐ Other: _____

3.

CONVEYING PARTIES	
Names of Conveying Parties	Date of Conveyance
1. Peter J. Davies	October 24, 1994
2.	
3.	

☐ Additional Conveying Parties Attached

4.

RECEIVING PARTIES	
Names of Receiving Parties	
Board of Regents Name The University of Texas	
Address 1 201 West 7 th Street	
Address 2 Austin, Texas 78701	

☐ Additional Receiving Parties Attached☒ If document is an assignment and the Receiving Party is not domiciled in the United States, an appointment of a Domestic Representative is attached.

03/26/2002 TDIAZ1 00000163 010885 08029801

01 FC:581 40.00 CH

PATENT
REEL: 012710 FRAME: 0176

5.

DOMESTIC REPRESENTATIVE NAME AND ADDRESS
Name
Address 1
Address 2

6.

CORRESPONDENCE NAME AND ADDRESS
Name Robert J. Baran (T2-7H)
Address 1 Allergan, Inc.
Address 2 2525 Dupont Drive, Irvine, CA 92612
Telephone 714-246-4669 and Fax 714-246-4249

7. Total Number of pages of the conveying document, including attachments: 3 pages

8.

APPLICATION NUMBER OR PATENT NUMBER (either; not both for same property)	
Application Number 08/029,801: Filed March 11, 1993	Patent Number: 5,399,586
Application Number	Patent Number

9. If this document is being filed with a NEW patent application, enter the Docket No., Title of the Invention, and date of execution of the Assignment by the first inventor:

Title of Patent Application: _____
 Docket No.: _____
 Date of Execution by First Inventor: _____

10. Total Number of Properties Involved: 111. The fee amount (37 CFR §3.41) of \$ 40.00

☒ may be debited from our Deposit Account No. 01-0885.
☐ is enclosed as check no. _____.

12. ☒ The Commissioner is authorized to deduct any additional fee amounts due in connection with the filing of this document from Deposit Account No. 01-0885.

To the best of my information and belief, all statements made herein are true, and any attached copy is a true copy of the original document.

Respectfully submitted,

SIGNATURE RJ Baran Date: 1/31/02
 TYPED or PRINTED NAME: ROBERT J. BARAN, ESQ. REGISTRATION NO. 25,806

CERTIFICATE OF MAILING	
I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE WITH SUFFICIENT POSTAGE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: BOX ASSIGNMENT, COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231 ON <u>1/31/02</u> (Date)	
Name of person making deposit: <u>Bonnie Ferguson</u>	
Signature: <u>Bonnie Ferguson</u>	Date <u>1/31/02</u>

PATENT

ASSIGNMENT

FOR GOOD AND VALUABLE CONSIDERATION, the receipt, sufficiency and adequacy of which are hereby acknowledged, the undersigned, does hereby:

SELL, ASSIGN AND TRANSFER to Board of Regents, The University of Texas System (the "Assignee"), having a place of business at 201 West 7th Street, Austin, Texas, 78701, the entire right, title and interest for the United States and all foreign countries in and to any and all improvements which are disclosed in the application for United States Letters Patent, Serial No. 08/029,801 which has been filed on March 11, 1993 and is entitled TREATMENT OF MAMMALS AFFLICTED WITH TUMORS WITH COMPOUNDS RXR RETINOID RECEPTOR AGONIST, such application and all divisional, continuing, substitute, renewal, reissue and all other applications for patent which have been or shall be filed in the United States and all foreign countries on any of such improvements; all original and reissued patents which have been or shall be issued in the United States and all foreign countries on such improvements; and specifically including the right to file foreign applications under the provisions of any convention or treaty and claim priority based on such application in the United States;

AUTHORIZE AND REQUEST the issuing authority to issue any and all United States and foreign patents granted on such improvements to the Assignee;

WARRANT AND COVENANT that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by the undersigned, and that the full right to convey the same as herein expressed is possessed by the undersigned;

COVENANT, when requested and at the expense of the Assignee, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all such improvements; execute all rightful oaths, declarations, assignments, powers of attorney and other papers; communicate to the Assignee all facts known to the undersigned relating to such improvements and the history thereof; and generally do everything possible which the Assignee shall consider desirable for vesting titled to such improvements in the Assignee, and for securing, maintaining and enforcing proper patent protection for such improvements;

TO BE BINDING on the heirs, assigns, representatives and successors of the undersigned and extend to the successors, assigns and nominees of the Assignee.

(Signature)

Peter J. Davies

Date:

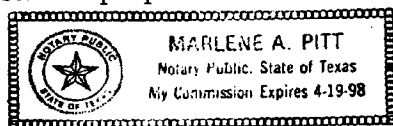
Oct. 24, 1994

Name: Peter J. Davies

STATE OF TEXAS

COUNTY OF HARRIS

BEFORE ME, the undersigned authority, on this ^{24th} ~~17th~~ day of October, 1994, personally appeared Peter J. Davies known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.



Marlene A. Pitt
Notary or Consular Officer

THE UNIVERSITY OF TEXAS SYSTEM
Office of General Counsel
201 West 7th Street
Austin, Texas 78701

PATENT
REEL: 012710 FRAME: 0178

PATENT

ASSIGNMENT

FOR GOOD AND VALUABLE CONSIDERATION, the receipt, sufficiency and adequacy of which are hereby acknowledged, the undersigned, does hereby:

SELL, ASSIGN AND TRANSFER to Board of Regents, The University of Texas System (the "Assignee"), having a place of business at 201 West 7th Street, Austin, Texas, 78701, the entire right, title and interest for the United States and all foreign countries in and to any and all improvements which are disclosed in the application for United States Letters Patent, Serial No. 08/029,801 which has been filed on March 11, 1993 and is entitled TREATMENT OF MAMMALS AFFLICTED WITH TUMORS WITH COMPOUNDS RXR RETINOID RECEPTOR AGONIST, such application and all divisional, continuing, substitute, renewal, reissue and all other applications for patent which have been or shall be filed in the United States and all foreign countries on any of such improvements; all original and reissued patents which have been or shall be issued in the United States and all foreign countries on such improvements; and specifically including the right to file foreign applications under the provisions of any convention or treaty and claim priority based on such application in the United States;

AUTHORIZE AND REQUEST the issuing authority to issue any and all United States and foreign patents granted on such improvements to the Assignee;

WARRANT AND COVENANT that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by the undersigned, and that the full right to convey the same as herein expressed is possessed by the undersigned;

COVENANT, when requested and at the expense of the Assignee, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all such improvements; execute all rightful oaths, declarations, assignments, powers of attorney and other papers; communicate to the Assignee all facts known to the undersigned relating to such improvements and the history thereof; and generally do everything possible which the Assignee shall consider desirable for vesting title to such improvements in the Assignee, and for securing, maintaining and enforcing proper patent protection for such improvements;

TO BE BINDING on the heirs, assigns, representatives and successors of the undersigned and extend to the successors, assigns and nominees of the Assignee.

(Signature) Peter J. Davies Date: Oct. 24, 1994
Name: Peter J. Davies

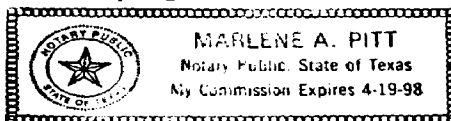
RECORDED
PATENT & TRADEMARK OFFICE

STATE OF TEXAS

NOV - 7 94

COUNTY OF HARRIS

BEFORE ME, the undersigned authority, on this 24th day of October, 1994, personally appeared Peter J. Davies known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.



Marlene A. Pitt
Notary or Consular Officer

THE UNIVERSITY OF TEXAS SYSTEM
Office of General Counsel
201 West 7th Street
Austin, Texas 78701

PATENT

RECORDED: 03/12/2002

REEL: 012710 FRAME: 0179

ALL INFORMATION CONTAINED
HEREIN IS UNCLASSIFIED
DATE 12-01-2001 BY 60321