

04-29-2002



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Docket No. 23623-7022

CG 525-2

FORM PTO-1595 <b>RECORDATION FORM COVER SHEET</b> <b>PATENTS ONLY</b>		U.S. Department of Commerce Patent and Trademark Office
To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof:		
1. Name and address of conveying party(ies):  Name: <u>Genencor International, Inc.</u> Address: <u>4 Cambridge Place</u> <u>1870 South Winton Road</u> <u>Rochester, New York 14618</u>  <input type="checkbox"/> Individual <input type="checkbox"/> Association <input type="checkbox"/> General Partnership <input type="checkbox"/> Limited Partnership <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Other:  Additional name(s) of conveying party(ies) attached? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	2. Name and address of receiving party(ies):  Name: <u>The Governing Council of the University of Toronto</u> Address: <u>27 King's College Circle</u> <u>Toronto, Ontario</u> <u>Canada M5S 1A1</u>  Additional name(s) of receiving party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
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: <u>February 8, 2002, February 14, 2002 and March 14, 2002</u>		
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:		
A. Patent Application Number(s): _____  Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	B. Patent Number(s): <u>6,284,512 B1</u>  Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
5. Name and address of party to whom correspondence concerning this document should be mailed:  Name: <u>Michael J. Shuster, Ph.D.</u>  Address: <u>McCutchen, Doyle, Brown &amp; Enersen, LLP</u> <u>Three Embarcadero Center, 18<sup>th</sup> Floor</u> <u>San Francisco, California 94111</u>	6. Total number of applications and patents involved: <u>-1-</u>  7. Total fee (37 C.F.R. § 3.41) (\$40.00 per assignment): <u>\$40.00</u> <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to Deposit Account No. <u>50-1193</u> . <input checked="" type="checkbox"/> The Commissioner is authorized to charge underpayment of any fees or credit any overpayment to Deposit Account No. 50-1193.	
DO NOT USE THIS SPACE		
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.  <div style="display: flex; justify-content: space-between;"> <div> <u>Michael J. Shuster, Ph.D., Reg. No. 41,310</u>            Name      Registration Number         </div> <div style="text-align: center;">             Signature         </div> <div> <u>April 3</u>, 2002            Date         </div> </div> <div style="text-align: right; margin-top: 10px;">         Total number of pages including cover sheet, attachments and document: <u>10</u> </div>		
Mail documents to be recorded with required cover sheet information to: Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231		

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**PATENT**  
**REEL: 012813 FRAME: 0949**

**Box 1 Additional Name(s) and addresses from conveying parties:**

Name: J. Bryan Jones  
Address: 1275 Seaforth Crescent  
Lakefield, Ontario  
Canada K0L 2H0

<input checked="" type="checkbox"/> Individual	<input type="checkbox"/> Association
<input type="checkbox"/> General Partnership	<input type="checkbox"/> Limited Partnership
<input type="checkbox"/> Corporation	<input type="checkbox"/> Other:

## **AMENDED AND RESTATED ASSIGNMENT**

Whereas the parties to this assignment acknowledge that the language of their original assignment agreement was not reflective of the parties' original intentions, whereas the parties intend to amend, restate, and supercede their prior assignment, and whereas the parties acknowledge that this Amended and Restated Assignment document is intended to reflect, clarify and correctly state the parties' original intentions, with respect to the invention described below, the parties agree as follows:

For good and valuable consideration, receipt of which is hereby acknowledged, J. Bryan Jones, a citizen of Canada, residing at 1275 Seaforth Crescent, RR3 Lakefield, Ontario Canada K0L 2H0, having acquired by prior assignment recorded as of May 6, 1999 Reel 009938, Frames 0181-0184 a right, title and interest in an invention of J. Bryan Jones and Erika Plettner entitled:

### **CHEMICALLY MODIFIED MUTANT ENZYMES AND METHODS FOR PRODUCING THEM, AND SCREENING THEM FOR AMIDASE AND/OR ESTERASE ACTIVITY**

for which a United States patent application has been executed and filed on January 21, 1999, and which application now has Serial No. 09/234,956, and having acquired a right, title and interest in all patent applications and patents of every country for said invention, including divisions, reissues, continuations and extensions thereof, and all rights of priority resulting from the filing of said applications; and having acquired the right to apply for patents of foreign countries for said invention, and to claim all rights of priority without further authorization from J. Bryan Jones and Erika Plettner.

Now, the parties agree to amend, restate and supercede in its entirety the prior assignment, and in view of the above premises and effective as of the execution date of that prior assignment, J. Bryan Jones hereby sells, assigns and transfers to the Governing Council of the University of Toronto, its successors and assigns, the right, title and interest he acquired by virtue of the above-referenced assignment recorded as of May 6, 1999 Reel 009938, Frames 0181-0184 from J. Bryan Jones and Erika Plettner as inventors, throughout the world in said invention, entitled:

**CHEMICALLY MODIFIED MUTANT ENZYMES AND METHODS FOR PRODUCING  
THEM, AND SCREENING THEM FOR AMIDASE AND/OR ESTERASE ACTIVITY**

for which a United States patent application has been executed and filed on January 21, 1999, and which application now has Serial No. 09/234,956, and in all patent applications and patents of every country for said invention, including divisions, reissues, continuations and extensions thereof, and all rights of priority resulting from the filing of said applications; the Governing Council of the University of Toronto authorizes Genencor International Inc., as licensee, to apply for patents of foreign countries for said invention, and to claim all rights of priority without further authorization from the Governing Council of the University of Toronto, and agrees to execute all papers useful in connection with said United States and foreign applications, and generally to do everything possible to aid Genencor International Inc., its successors, assigns and nominees, at its request and expense, in obtaining and enforcing patents for said invention in all countries.

/ / /

J. Bryan Jones warrants, covenants and represents that he has not heretofore granted any license, right or privilege with respect to said application, invention or improvements, or in any way encumbered the same, and that he has the full right to make this assignment.

Executed this 8 day of February, 2002

By: J B Jones  
 Title: \_\_\_\_\_

State of Ontario, Canada )  
 ) ss.  
 County of \_\_\_\_\_ )

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

By: \_\_\_\_\_  
 Title: \_\_\_\_\_

State of \_\_\_\_\_ )  
 ) ss.  
 County of \_\_\_\_\_ )

J. Bryan Jones warrants, covenants and represents that he has not heretofore granted any license, right or privilege with respect to said application, invention or improvements, or in any way encumbered the same, and that he has the full right to make this assignment.

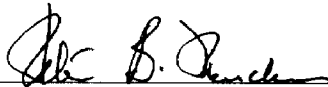
Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

By: \_\_\_\_\_

Title: \_\_\_\_\_

State of \_\_\_\_\_ )  
 ) ss.  
 County of \_\_\_\_\_ )

Executed this 14 day of February, 2002.

By: 

Title: Peter B. Munson  
 Assistant Vice-President  
 Technology Transfer  
 University of Toronto

Province  
~~State of~~ Ontario )  
 ) ss.  
 County of Canada )

## **AMENDED AND RESTATED ASSIGNMENT**

Whereas the parties to this assignment acknowledge that the language of their original assignment agreement was not reflective of the parties' original intentions, whereas the parties intend to amend, restate, and supercede their prior assignment, and whereas the parties acknowledge that this Amended and Restated Assignment document is intended to reflect, clarify and correctly state the parties' original intentions, with respect to the invention described below, the parties agree as follows:

For good and valuable consideration, receipt of which is hereby acknowledged, Genencor International Inc., a Delaware corporation, having a place of business at 4 Cambridge Place, 1870 South Winton Road, Rochester, New York, having acquired by prior assignment recorded as of May 6, 1999 Reel 009938, Frames 0181-0184 a right, title and interest in an invention of J. Bryan Jones and Erika Plettner entitled:

### **CHEMICALLY MODIFIED MUTANT ENZYMES AND METHODS FOR PRODUCING THEM, AND SCREENING THEM FOR AMIDASE AND/OR ESTERASE ACTIVITY**

for which a United States patent application has been executed and filed on January 21, 1999, and which application now has Serial No. 09/234,956, and having acquired a right, title and interest in all patent applications and patents of every country for said invention, including divisions, reissues, continuations and extensions thereof, and all rights of priority resulting from the filing of said applications; and having acquired the right to apply for patents of foreign countries for said invention, and to claim all rights of priority without further authorization from J. Bryan Jones and Erika Plettner.

Now, the parties agree to amend, restate and supercede in its entirety the prior assignment, and in view of the above premises and effective as of the execution date of that prior assignment, Genencor International Inc. hereby sells, assigns and transfers to the Governing Council of the University of Toronto, its successors and assigns, the right, title and interest it acquired by virtue of the above-referenced assignment recorded as of May 6, 1999 Reel 009938, Frames 0181-0184 from J. Bryan Jones and Erika Plettner as inventors, throughout the world in said invention of J. Bryan Jones and Erika Plettner entitled:

**CHEMICALLY MODIFIED MUTANT ENZYMES AND METHODS FOR PRODUCING  
THEM, AND SCREENING THEM FOR AMIDASE AND/OR ESTERASE ACTIVITY**

for which a United States patent application has been executed and filed on January 21, 1999, and which application now has Serial No. 09/234,956, and in all patent applications and patents of every country for said invention, including divisions, reissues, continuations and extensions thereof, and all rights of priority resulting from the filing of said applications; the Governing Council of the University of Toronto authorizes Genencor International Inc., as licensee, to apply for patents of foreign countries for said invention, and to claim all rights of priority without further authorization from the Governing Council of the University of Toronto, and agrees to execute all papers useful in connection with said United States and foreign applications, and generally to do everything possible to aid Genencor International Inc., its successors, assigns and nominees, at its request and expense, in obtaining and enforcing patents for said invention in all countries.

/ / /



Genencor International Inc. warrants, covenants and represents that it has not heretofore granted any license, right or privilege with respect to said application, invention or improvements, or in any way encumbered the same, and that it has the full right to make this assignment.

Executed this 14 day of March, 2002.

By: Margaret A. Horn  
 Title: MARGARET A. HORN  
VICE PRESIDENT

State of \_\_\_\_\_ )  
 ) ss.  
 County of \_\_\_\_\_ )

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

By: \_\_\_\_\_  
 Title: MARGARET A. HORN  
VICE PRESIDENT

State of \_\_\_\_\_ )  
 ) ss.  
 County of \_\_\_\_\_ )

Genencor International Inc. warrants, covenants and represents that it has not heretofore granted any license, right or privilege with respect to said application, invention or improvements, or in any way encumbered the same, and that it has the full right to make this assignment.


Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

By: \_\_\_\_\_

Title: \_\_\_\_\_

State of \_\_\_\_\_ )  
 ) ss.  
 County of \_\_\_\_\_ )

Executed this 14 day of February, 2002.

By: 

Title: \_\_\_\_\_

<sup>Province</sup>  
~~State~~ of Ontario )  
 ) ss.  
 County of Canada )

Peter B. Munsche  
 Assistant Vice-President  
 Technology Transfer  
 University of Toronto