

Docket No.: P-555

FORM PTO-1595 (Modified)  
(Rev. 03-01)  
OMB No. 0651-0027 (exp.5/31/2002)  
PCBA/REV03

## RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

## PATENTS ONLY

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

(1) Douglas T. Gjerde; (2) David Hornby;  
(3) Christopher P. Hanna; (4) Alexander I. Kuklin;  
(5) Robert M. Haelele; (6) Paul D. Taylor

Additional names(s) of conveying party(ies) attached? ☐ Yes ☒ No

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

Name: TRANSGENOMIC, INC.Address: 2032 Concourse DriveCity: San JoseState/Prov.: CACountry: USAZIP: 95131Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

☐ Assignment☐ Merger☐ Security Agreement☐ Change of Name☒ Other Corrective Recordation of Assignment DocumentExecution Date: 3/22; 3/21; 9/10; 3/27; 3/22; 4/5 (2001)

## 4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

Patent Application No.

Filing date

B. Patent No.(s)

09/753,85601/02/2001Additional numbers attached? ☐ Yes ☒ No

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

Name: John F. BradyRegistration No. 39,118Address: Transgenomic, Inc.2032 Concourse DriveCity: San JoseState/Prov.: CACountry: USAZIP: 95131

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

17. Total fee (37 CFR 3.41):.....\$ 40.00☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☒ Authorized to be charged to deposit account

## 8. Deposit account number:

50-0821

(Attach duplicate copy of this page if paying by deposit account)

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.

John F. Brady

Name of Person Signing

John F. Brady

Signature

7-11-02

Date

Total number of pages including cover sheet, attachments, and documents: 18Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignment

PATENT

700014794

REEL: 012874 FRAME: 0132

New Attorney Docket No. P-555

UNITED STATES PATENT AND TRADEMARK OFFICE

Assignee: Transgenomic, Inc. : Examiner: N/A

Serial No.: 09/753,856 : Art Unit: N/A

Filing Date: 01/02/2001 :

Title: METHOD AND SYSTEM FOR RNA ANALYSIS BY MATCHED ION  
POLYNUCLEOTIDE CHROMATOGRAPHY

Box ASSIGNMENTS  
Assistant Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

ASSIGNMENT

**KNOW ALL MEN BY THESE PRESENTS**, that Whereas we, Douglas T. Gjerde, David Hornby, Christopher P. Hanna, Alexander I Kuklin, Robert M. Haeefele, and Paul D. Taylor, invented certain new and useful improvements in **METHOD AND SYSTEM FOR RNA ANALYSIS BY MATCHED ION POLYNUCLEOTIDE CHROMATOGRAPHY**, and have disclosed the same in an application for Letters Patent, Serial No. **09/753,856**, filed in the United States Patent and Trademark Office on **01/02/2001**; and

**WHEREAS TRANSGENOMIC, INC.**, a corporation duly organized and existing under the laws of **DELAWARE**, and having a post office address at **2032 CONCOURSE DRIVE, SAN JOSE, CA 95131** is desirous of acquiring an interest therein and in the Letters Patent to be obtained therefor from the United States Patent and Trademark Office;

**NOW THEREFORE**, in consideration of the sum of one dollar (\$1.00) and other good and valuable considerations to us by **TRANSGENOMIC, INC.**, the receipt whereof is hereby acknowledged, We do hereby sell, assign, transfer and set over unto **TRANSGENOMIC, INC.**, its successors and assigns, the entire right, title and interest in, to and under the said application

for United States Letters Patent, including all priority rights arising therefrom, all inventions therein disclosed, and any and all Letters Patent of the United States and of all other countries which may be granted for the said inventions, or any of them.

TO HAVE, HOLD and ENJOY the said inventions, the said Application, and the said Letters Patent to said **TRANSGENOMIC, INC.**, its successors and assigns, to its and their own use and behoof to the full end of the term or terms for which the said Letters Patent may be granted as fully and entirely as the same would have been held and enjoyed by us had this assignment and sale not been made.

And We do hereby authorize and request the Commissioner of Patents of the United States to issue any United States Letters Patent which may be granted on the said application, or any original, divisional, reissue, continuation, or provisional applications, or for the said inventions of any of them, to said **TRANSGENOMIC, INC.**, its successors and assigns, as assignees of the entire right, title and interest therein and thereto.

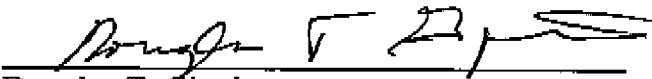
And We do hereby, for ourselves and for our legal representatives, covenant and agree with **TRANSGENOMIC, INC.**, its successors and assigns, that We have granted to others no license to make, use or sell any of the said inventions, that our right, title and interest in the said inventions has not been encumbered, that We have good right and title to sell and assign the same, and that We will not execute any instrument in conflict herewith.

And We do hereby, for ourselves and for our legal representatives, further covenant and agree with **TRANSGENOMIC, INC.**, its successors and assigns, that upon request We will, and they shall, execute original, divisional, reissue, continuation, or provisional applications, amended specifications, or rightful oaths; communicate to **TRANSGENOMIC, INC.**, its successors and assigns, any facts known to us relating to the said inventions or the history

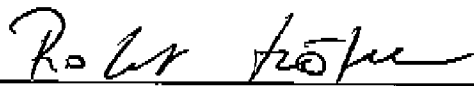
thereof; execute preliminary statements and testify in any interference proceedings; execute and deliver any application papers, assignments, or other instruments, and do all other acts which, in the opinion of counsel for **TRANSGENOMIC, INC.**, may be necessary or convenient to secure the grant of Letters Patent to **TRANSGENOMIC, INC.**, its successors and assigns, or its nominees, in the United States and in all other countries where **TRANSGENOMIC, INC.** may desire to have the said inventions, or any of them, patented, with specifications and claims in such form as shall be approved by counsel for **TRANSGENOMIC, INC.**, and to vest and confirm in **TRANSGENOMIC, INC.**, its successors and assigns, or its nominees, the full and complete legal and equitable title to all such Letters Patent, without further consideration than now paid but at the expense of **TRANSGENOMIC, INC.**, its successors and assigns.

The undersigned hereby grant to WILLIAM B. WALKER, Registration No. 22,498, Transgenomic, Inc., the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

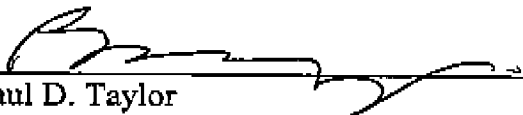
IN WITNESS WHEREOF, We have hereunto set our hands and seals on the dates indicated below:

Date: <u>3-22-01</u>	 _____ Douglas T. Gjerde
Date: _____	_____ David Hornby
Date: _____	_____ Christopher P. Hanna
Date: _____	_____ Alexander I. Kuklin

Date: 03-22-2001

  
Robert M. Haefele

Date: 04-05-2001

  
Paul D. Taylor

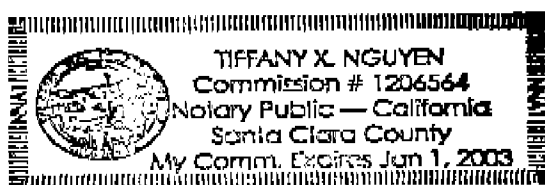
STATE OF California )  
COUNTY OF Santa Clara ) ss.

On this 22<sup>nd</sup> day of March in the year 2001 before me,  
Tiffany Nguyen, a Notary Public in and for said State, personally appeared  
Douglas Gjerd

☒ personally known to me -OR-  
☐ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledge that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, to the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and Official Seal.



Tiffany X. Nguyen  
Signature of Notary  
Notary for the State of California  
Residing in San Jose  
My Commission expires 1-1-03

STATE OF California )  
COUNTY OF Santa Clara ) ss.

On this 22<sup>nd</sup> day of March in the year 2001 before me,  
Tiffany Nguyen, a Notary Public in and for said State, personally appeared  
Robert Haeffele

☒ personally known to me -OR-  
☐ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledge that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, to the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and Official Seal.



Tiffany X. Nguyen  
Signature of Notary  
Notary for the State of California  
Residing in San Jose  
My Commission expires 1-1-03

Notarization General

STATE OF California )  
COUNTY OF Santa Clara ) ss.

On this 5<sup>th</sup> day of April in the year 2001 before me,  
Tiffany Nguyen, a Notary Public in and for said State, personally appeared  
Paul Taylor

☒ personally known to me -OR-  
☐ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledge that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, to the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and Official Seal.



Tiffany X. Nguyen  
Signature of Notary  
Notary for the State of California  
Residing in San Jose  
My Commission expires 1-1-03

STATE OF \_\_\_\_\_ )  
COUNTY OF \_\_\_\_\_ ) ss.

On this \_\_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_ before me,  
\_\_\_\_\_, a Notary Public in and for said State, personally appeared

☐ personally known to me -OR-  
☐ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledge that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, to the entity upon behalf of which the person acted, executed the instrument..

WITNESS my hand and Official Seal.

\_\_\_\_\_  
Signature of Notary  
Notary for the State of \_\_\_\_\_  
Residing in \_\_\_\_\_  
My Commission expires \_\_\_\_\_

Notarization General

thereof; execute preliminary statements and testify in any interference proceedings; execute and deliver any application papers, assignments, or other instruments, and do all other acts which, in the opinion of counsel for **TRANSGENOMIC, INC.**, may be necessary or convenient to secure the grant of Letters Patent to **TRANSGENOMIC, INC.**, its successors and assigns, or its nominees, in the United States and in all other countries where **TRANSGENOMIC, INC.** may desire to have the said inventions, or any of them, patented, with specifications and claims in such form as shall be approved by counsel for **TRANSGENOMIC, INC.**, and to vest and confirm in **TRANSGENOMIC, INC.**, its successors and assigns, or its nominees, the full and complete legal and equitable title to all such Letters Patent, without further consideration than now paid but at the expense of **TRANSGENOMIC, INC.**, its successors and assigns.

The undersigned hereby grant to WILLIAM B. WALKER, Registration No. 22,498, Transgenomic, Inc., the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trade-mark Office for recordation of this document.

IN WITNESS WHEREOF, We have hereunto set our hands and seals on the dates indicated below:

Date: _____	_____ Douglas T. Gjerde
Date: <u>21 March 2001</u>	<u><i>D. P. Hornby</i></u> David Hornby
Date: _____	_____ Christopher P. Hanna
Date: _____	_____ Alexander I. Kuklin



STATE OF ENGLANDCOUNTY OF SOUTH YORKSHIRE

On this 21st day of MARCH in the year 2001 before me,  
STEWART A LALE, a Notary Public in and for said State, personally appeared  
DAVID HORNBY

☒ personally known to me -OR-  
☐ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledge that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, to the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and Official Seal.

Stewart A Lale

Signature of Notary

Notary for the State of ENGLANDResiding in SHEFFIELDMy Commission expires FOR LIFE

STATE OF \_\_\_\_\_ )

COUNTY OF \_\_\_\_\_ ) ss.

On this \_\_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_ before me,  
 \_\_\_\_\_, a Notary Public in and for said State, personally appeared  
 \_\_\_\_\_

☐ personally known to me -OR-  
☐ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledge that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, to the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and Official Seal.

Signature of Notary

Notary for the State of \_\_\_\_\_

Residing in \_\_\_\_\_

My Commission expires \_\_\_\_\_

Notarization General

thereof; execute preliminary statements and testify in any interference proceedings; execute and deliver any application papers, assignments, or other instruments, and do all other acts which, in the opinion of counsel for **TRANSGENOMIC, INC.**, may be necessary or convenient to secure the grant of Letters Patent to **TRANSGENOMIC, INC.**, its successors and assigns, or its nominees, in the United States and in all other countries where **TRANSGENOMIC, INC.** may desire to have the said inventions, or any of them, patented, with specifications and claims in such form as shall be approved by counsel for **TRANSGENOMIC, INC.**, and to vest and confirm in **TRANSGENOMIC, INC.**, its successors and assigns, or its nominees, the full and complete legal and equitable title to all such Letters Patent, without further consideration than now paid but at the expense of **TRANSGENOMIC, INC.**, its successors and assigns.

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IN WITNESS WHEREOF, We have hereunto set our hands and seals on the dates indicated below:


Date: \_\_\_\_\_

\_\_\_\_\_  
Douglas T. Gjerde

Date: \_\_\_\_\_

\_\_\_\_\_  
David Hornby

Date: 9/10/01

  
\_\_\_\_\_  
Christopher P. Hanna

Date: \_\_\_\_\_

\_\_\_\_\_  
Alexander I. Kuklin

STATE OF Massachusetts )  
 ) ss.  
COUNTY OF Franklin )

On this 10<sup>th</sup> day of September in the year 2001 before me,  
William D. Judd Jr., a Notary Public in and for said State, personally appeared Christopher P. Hawley

☐ personally known to me -OR-  
☒ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledge that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, to the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and Official Seal.

William D. Judd Jr.  
Signature of Notary  
Notary for the State of Massachusetts  
Residing in Southampton  
My Commission expires November 19, 2004  
WILLIAM D. JUDD, JR.  
Notary Public

STATE OF \_\_\_\_\_ )  
 ) ss.  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_ before me,  
\_\_\_\_\_, a Notary Public in and for said State, personally appeared \_\_\_\_\_

☐ personally known to me -OR-  
☐ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledge that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, to the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and Official Seal.

\_\_\_\_\_  
Signature of Notary  
Notary for the State of \_\_\_\_\_  
Residing in \_\_\_\_\_  
My Commission expires \_\_\_\_\_

thereof; execute preliminary statements and testify in any interference proceedings; execute and deliver any application papers, assignments, or other instruments, and do all other acts which, in the opinion of counsel for **TRANSGENOMIC, INC.**, may be necessary or convenient to secure the grant of Letters Patent to **TRANSGENOMIC, INC.**, its successors and assigns, or its nominees, in the United States and in all other countries where **TRANSGENOMIC, INC.** may desire to have the said inventions, or any of them, patented, with specifications and claims in such form as shall be approved by counsel for **TRANSGENOMIC, INC.**, and to vest and confirm in **TRANSGENOMIC, INC.**, its successors and assigns, or its nominees, the full and complete legal and equitable title to all such Letters Patent, without further consideration than now paid but at the expense of **TRANSGENOMIC, INC.**, its successors and assigns.

The undersigned hereby grant to WILLIAM B. WALKER, Registration No. 22,498, Transgenomic, Inc., the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trade-mark Office for recordation of this document.

IN WITNESS WHEREOF, We have hereunto set our hands and seals on the dates indicated below:

Date: _____	_____ Douglas T. Gjerde
Date: _____	_____ David Hornby
Date: _____	_____ Christopher P. Hanna
Date: <u>03/27/01</u>	<u>Alexander I. Kuklin</u> <u>03/27/01</u> Alexander I. Kuklin

STATE OF PA )  
COUNTY OF Montgomery ) ss.

On this 27 day of March in the year 2001 before me,  
Kathleen Hill, a Notary Public in and for said State, personally appeared  
Alexander I Kuklin.

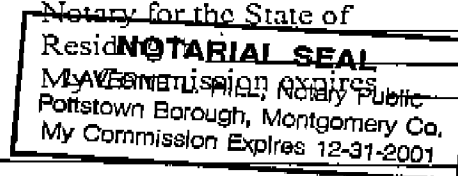
☐ personally known to me -OR-  
☒ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledge that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, to the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and Official Seal.



Signature of Notary  
Notary for the State of



STATE OF \_\_\_\_\_ )  
COUNTY OF \_\_\_\_\_ ) ss.

On this \_\_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_ before me,  
\_\_\_\_\_, a Notary Public in and for said State, personally appeared  
\_\_\_\_\_

☐ personally known to me -OR-  
☐ proved to me on the basis of satisfactory evidence

to be the person whose name is subscribed to the within instrument, and acknowledge that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, to the entity upon behalf of which the person acted, executed the instrument..

WITNESS my hand and Official Seal.

\_\_\_\_\_  
Signature of Notary  
Notary for the State of \_\_\_\_\_  
Residing in \_\_\_\_\_  
My Commission expires \_\_\_\_\_

OPJUL.11.2002EM12:25PM  
OCT.15.2001 10:32AM

TRANSGENOMIC 408 432 8910 4/5  
TRANSGENOMIC 408 432 8910

RightFAX NO.889 P.6/19  
NO.088 P.2/15

10/15/2001

Dock 3: P-555

FORM PTO-1506 (Modified)  
(Rev. 6-82)  
OMB No. 0661-0011 (exp. 4/94)  
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PC8A/REV02

RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

# PATENTS ONLY

Tab settings

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

DOUGLAS T. GJERDE  
DAVID HORNBY  
CHRISTOPHER P. HANNA  
ROBERT M. HAEFELE

Additional names(s) of conveying party(ies) ☒ Yes ☐ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: 3/21, 3/22, 3/27, 9/10, 2001

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

Name: TRANSGENOMIC, INC.

Address: 2032 CONCOURSE DRIVE

City: SAN JOSE State/Prov.: CA

Country: USA ZIP: 95131

Additional name(s) & address(es) ☐ Yes ☒ No

4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is:

Patent Application No. Filing date

09/753,856 01/02/2001

B. Patent No.(s)

Additional numbers

☐ Yes ☒ No

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

Name: WILLIAM B. WALKER

Registration No. 22,498

Address: 2032 CONCOURSE DRIVE

City: SAN JOSE State/Prov.: CA

Country: USA ZIP: 95131

6. Total number of applications and patents involved:

1

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

☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☒ Authorized to be charged to deposit account

8. Deposit account number:

50-0821

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.

WILLIAM B. WALKER

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and

25

RECORDED: 07/11/2002

PATENT  
REEL: 012874 FRAME: 0145