

05-14-2002



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U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office
Attorney Docket No. 220.0001 0150

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

1. Name of conveying party(ies):

Eric T. Kool

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

Name: University of Rochester

Street Address: 518 Hylan Building

City: Rochester State: NY ZIP: 14627

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

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

3. Nature of conveyance:

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

Execution Date: April 13, 2002

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 No(s). 09/997,931

B. Patent No(s).

Title: CIRCULAR DNA VECTORS FOR SYNTHESIS OF RNA AND DNA

Additional numbers attached? ☐ Yes ☒ No

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

Name: Victoria A. Sandberg
Address: MUETING, RAASCH & GEBHARDT, P.A.
P.O. Box 581415
Minneapolis, MN 55458-1415

Customer Number 26813

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR §3.41): \$ 40.00

☐ Enclosed
☒ Authorized to be charged to deposit account

8. Please charge any additional fees or credit any overpayments to Deposit account number: 13-4895

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is an original or a true copy of the original document.

Victoria A. Sandberg, Atty. Reg. No. 41,287
Name of Person Signing

Signature

April 19, 2002
Date

Total number of pages including cover sheet, attachments, and document(s): 2

Mail documents to be recorded with required cover sheet information to:
Commissioner, United States Patent and Trademark Office
Box Assignments
Washington, D.C. 20231

05/13/2002 GTOW11 00000255 134895 09997931

01 FC:588 40.00 CH

PATENT
REEL: 012876 FRAME: 0878

ASSIGNMENT

Whereas I, Eric T. Kool, with residence and citizenship as indicated below; have made an invention in

CIRCULAR DNA VECTORS FOR SYNTHESIS OF RNA AND DNA

Filed: November 30, 2001

Serial No.: 09/997,931

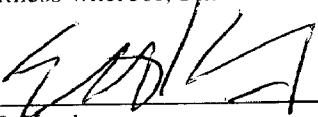
and executed an application for Letters Patent of the United States of America based thereon;

Now, therefore, for good and valuable consideration, receipt of which is acknowledged, I have agreed to assign and transfer and do hereby assign and transfer unto University of Rochester ("Company"), a corporation of New York, having its principal office at 518 Hylan Building, Rochester, New York 14627, its successors and assigns, the entire right, title, and interest in and to said invention and application, and in and to any division or continuation (in whole or in part) of said application, and in and to any and all improvements in said invention made by me or made jointly with others (provided any such improvement is made during, or within one year after the termination of, the employment by the Company of whichever of us, solely or jointly with one or more others, has made the same), and in and to any and all Letters Patent, reexaminations, reissues, or extensions thereof, of the United States of America and countries foreign thereto (including the right to apply for Letters Patent, Utility Models, or Inventors' Certificates in foreign countries in its own name and to claim any priority rights for such foreign applications to which such applications are entitled under international conventions, treaties, or otherwise), which have been or may be granted thereon or on any continued prosecution application, divisional, continuation (in whole or in part), renewal, reexamination, reissue, or other or further application based in whole or in part upon said invention or improvements thereon, to be held and enjoyed as fully and exclusively as they would have been by me had this assignment and transfer not been made;

I do further agree for myself and for my heirs, executors, and administrators, to execute and deliver without further consideration any further applications, assignments, and documents, and to perform such other acts as I lawfully may, that may be deemed necessary by the Company, its successors, assigns, and nominees, fully to secure its right, title, and interest as aforesaid and to obtain or maintain Letters Patent, Utility Models, or Inventors' Certificates in any and all countries;

And I do hereby authorize and request the Commissioner of Patents to issue any and all Letters Patent which may be granted upon any of said applications, to University of Rochester as the assignee of the entire right, title, and interest therein.

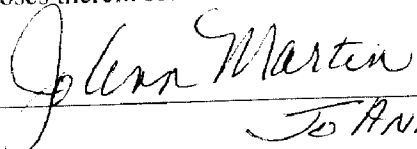
In witness whereof, I have hereunto signed my name on the day and year set forth below.


 Name: Eric T. Kool
 Address: 859 Esplanada Way, Stanford, CA 94305
 Citizenship: U.S.A.

4/13/02
 Date

STATE OF INDIANA)
) ss.
 COUNTY OF Boone)

On this 13th day of April 2002, before me personally appeared Eric T. Kool, to me known to be the person described in and who executed the foregoing instrument, and he/she executed the same for the uses and purposes therein set forth.


Glenn Martin
 Resident Boone County, Ind.
 My Commission Expires
June 5, 2007