07-02-2002



ocket No. 21402-124 (CURA-424)

RECOF

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FORM PTO-1595

(Re	ORM PTO-1595 ev. 6-93) MB No. 0651-0011 (exp. 4/94)		U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office
	FINA	Please record the attache	ed original documents or copy thereof.
1.	Name of conveying party(ies):		2. Name and address of receiving party(ies)
	Valerie L. Gerlach (6/20/02) John MacDougall (6/20/02)		Name: CuraGen Corporation
	Glennda Smithson (6/20/02) Isabelle Millet (6/20/02) David Stone (6/20/02)	6.26.0	Internal Address: 555 Long Wharf Drive New Haven, CT 06511
	Erik Gunther (6/20/02) Karen Ellerman (6/20/02) William M. Grosse (3/20/02) John P. Alsobrook II (6/20/02) Denise M. Lepley (6/20/02) Catherine Burgess (6/20/02) Muralidhara Padigaru (6/20/02) Ramesh Kekuda (6/20/02)	•	Street Address: 555 Long Wharf Drive New Haven, CT 06511
	Kimberly A. Spytek (6/20/02) Martin D. Leach (6/20/02) Richard Shimkets (6/20/02)		Additional name(s) & address(es) attached? Yes No
	Additional name(s) of conveying	party(ies) attached? Yes No	o
3.	Nature of conveyance:		
	□ Assignment □ Security Agreement □ Other		
	Execution Date: March 20, 2002	2 and June 20, 2002	
4.	-Application number(s) or pate	ent number(s):	
	If this document is being filed to	gether with a new application, the exec	ecution date of the application is
	A. Patent Application No(s):		B. Patent No(s):
	09/964,956	Additional numb	bers attached?
5.	Name and address of party to v Concerning document should b	whom correspondence be mailed:	6. Total number of applications and patents involved: [1]
	Name: Ivor R. Elrifi		7. Total fee (37 CFR 3.41) \$40.00
	Address: MINTZ, LEVI	IN, COHN, FERRIS nd POPEO, P.C.	⊠ Enclosed
	One Financial Boston, MA	Center	The Commissioner is authorized to charge Deposit Account No: 50-0311, Reference No. 21402-124 (CURA-424).
		DO N	NOT USE THIS SPACE
9.	Statement and signature To the best of my knowledge and	d belief, the foregoing information is t	true and correct and any attached copy is a true copy of the original document.
	Sean M. Coughlin, Reg. No. 48		Signature AM dl.
T	otal number of pages including cov	ver sheet, attachments, and document:	·
1 1	our number of pages mercang es		

Mail documents to be recorded with required cover sheet information to:

BOX ASSIGNMENT Commissioner of Patents and Trademarks Washington, D.C. 20231

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TRA 1684165v1

PATENT

REEL: 013033 FRAME: 0838

Express Mail Label No.: EV 13949896465

Date of Deposit: J (Q) Attorney Docket No. 21402-124 (CURA-424)

ASSIGNMENT

We, Valerie Gerlach, John MacDougall, Glennda Smithson, Isabelle Millet, David Stone, Erik Gunther, Karen Ellerman, William Grosse, John Alsobrook II, Denise Lepley, Catherine Burgess, Muralidhara Padigaru, Ramesh Kekuda, Kimberly Spytek, Martin Leach, Richard Shimkets, the undersigned, for good and valuable consideration, the receipt of which is hereby acknowledged, hereby assign, sell and transfer to CuraGen Corporation, a Delaware corporation, with offices at 555 Long Wharf Drive, 11th Floor, New Haven, CT 06511 and its successors, assigns and legal representatives, all hereinafter referred to as the ASSIGNEE: (1) my entire right, title and interest for the United States and in all countries, in and to any and all inventions, discoveries and applications which are disclosed in the application for United States Letters Patent entitled:

NOVEL PROTEINS AND NUCLEIC ACIDS ENCODING SAME

filed with the U.S. Patent and Trademark Office on September 26, 2001, given Serial No. 09/964,956, including any renewals, revivals, reissues, reexaminations, extensions, continuations and divisions thereof and any substitute applications therefor; (2) the full and complete right to file patent applications in the name of the ASSIGNEE, its designee, or in my name as the ASSIGNEE, or its designee's election, on the aforesaid inventions, discoveries and applications in all countries of the world; (3) the entire right, title and interest in and to any Letters Patent which may issue thereon in the United States or in any country, and any renewals, revivals, reissues, reexaminations and extensions thereof, and any patents of confirmation, registration and importation of the same; and (4) the entire right, title and interest in all Convention and Treaty Rights of all kinds thereon, including without limitation all rights of priority in any country of the world, in and to the above inventions, discoveries and applications.

I hereby authorize and request the competent authorities to grant and to issue any and all such Letters Patent in the United States and throughout the world to the ASSIGNEE of the entire right, title and interest therein, as fully and entirely as the same would have been held and enjoyed by me had this assignment, sale and transfer not been made.

I agree, at any time, upon the request of the ASSIGNEE, to execute and to deliver to the ASSIGNEE any additional applications for patents for said inventions and discoveries, or any part or parts thereof, and any applications for patents of confirmation, registration and importation based on any Letters Patent issuing on said inventions, discoveries, or applications and divisions, continuations, renewals, revivals, reissues, reexaminations and extensions thereof.

I further agree at any time to execute and to deliver upon request of the ASSIGNEE such additional documents, if any, as are necessary or desirable to secure patent protection on said inventions, discoveries and applications throughout all countries of the world, and otherwise to do the necessary to give full effect to and to perfect the rights of the ASSIGNEE under this Assignment, including the execution, delivery and procurement of any and all further documents evidencing this assignment, transfer and sale as may be necessary or desirable.

U.S.S.N. 09/964,956

Filed: September 26, 2001

I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

I further covenant that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

Date:		
	Signature of: Valerie Gerlach	
State of		
County of		
Subscribed and sworn to before me this	day of	
	Notary Public	
	My commission expires	
Date:		
Dute.	Signature of: John MacDougall	
State of		
County of		
Subscribed and sworn to before me this _	day of	
	Notary Public	
	My commission expires	

Date: Signature of: Glennda Smithson State of _____ County of _____ Subscribed and sworn to before me this _____ day of _____. Notary Public My commission expires ______. Date: Signature of: Isabelle Millet State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public My commission expires ______.

U.S.S.N. 09/964,956

Filed: September 26, 2001

Filed: September 26, 2001 Date: Signature of: David Stone State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public My commission expires ______. Date: Signature of: Erik Gunther State of _____ Country of _____ Subscribed and sworn to before me this day of . Notary Public My commission expires ______. Date: Signature of: Karen Ellerman State of _____ Country of _____ Subscribed and sworn to before me this _____ day of _____.

Notary Public

-4-

U.S.S.N. 09/964,956

U.S.S.N. 09/964,956

Filed: September 26, 2001

Notary Public

Date: **Signature of: Denise Lepley** State of _____ Country of _____ Subscribed and sworn to before me this _____ day of _____. Notary Public My commission expires ______. Date: **Signature of: Catherine Burgess** State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public

U.S.S.N. 09/964,956

Filed: September 26, 2001

U.S.S.N. 09/964,956 Filed: September 26, 2001 Date: Signature of: Muralidhara Padigaru State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public My commission expires ______. Date: Signature of: Ramesh Kekuda Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public My commission expires ______. Date: Signature of: Kimberly Spytek State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______.

Notary Public

-7-

DATENT

Date: Signature of: Martin Leach State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public My commission expires ______. Date: **Signature of: Richard Shimkets** State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. **Notary Public** My commission expires ______.

TRA 1621487v1

U.S.S.N. 09/964,956

Filed: September 26, 2001

-8-

Express Mail Label No.: EV 139498 96405
Date of Deposit:

Date of Deposit: June 24, 2003 Attorney Docket No. 21402-124 (CURA-424)

ASSIGNMENT

We, Valerie Gerlach, John MacDougall, Glennda Smithson, Isabelle Millet, David Stone, Erik Gunther, Karen Ellerman, William Grosse, John Alsobrook II, Denise Lepley, Catherine Burgess, Muralidhara Padigaru, Ramesh Kekuda, Kimberly Spytek, Martin Leach, Richard Shimkets, the undersigned, for good and valuable consideration, the receipt of which is hereby acknowledged, hereby assign, sell and transfer to CuraGen Corporation, a Delaware corporation, with offices at 555 Long Wharf Drive, 11th Floor, New Haven, CT 06511 and its successors, assigns and legal representatives, all hereinafter referred to as the ASSIGNEE: (1) my entire right, title and interest for the United States and in all countries, in and to any and all inventions, discoveries and applications which are disclosed in the application for United States Letters Patent entitled:

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U.S.S.N. 09/964,956

Filed: September 26, 2001

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1) 1

Date: 6/20/02	Valeur Gerlach
	Signature of: Valerie Gerlach
State of Connocticot	
County of KGO HACKID	
Subscribed and sworn to before me this ${\mathcal U}$	Notary Public (1)
	My commission expires 2/28/03.
Date: 6/29/02	Signature of: John MacDougall
State of Connecticut	
County of NEW HAVEN	
Subscribed and sworn to before me this 2^r	7 day of fune 2002
6	Notary Public My commission expires
	My commission expires

Date: 6/20/01 County of MAU Subscribed and sworn to before me this 20 day of 100, 206 6/20/02 Date: Signature of: Isabelle Millet Country of __ Subscribed and sworn to before me this day of fine, Joc

U.S.S.N. 09/964,956

Filed: September 26, 2001

U.S.S.N. 09/964,956	Δ
Filed: September 26, 2001	
Date: 6-29-02	1/ amm / /
	Signature of: Day'd Stone
State of Connecticut	
Country of	
2 1	2000
Subscribed and sworn to before me this 2	day of fune, feets.
	Mars and M
	Notary Public
·	120 7 2/12/11
	My complission expires
Date:	14/
	Signature of: Erik Gunther
State of Connecticut	_
Country of <u>USA</u>	
	_
Subscribed and sworn to before me this 20	day of fle och 2.
	MADOW ON
	Nada Bublio
	Notary Public 1 2 11 11
	My commission expires
Date: 1.120107	- Cleman
16/30/09	Signature of: Karen Ellerman
State of lonnacticut	
Country of USA	
Country of	
Subscribed and sworn to before me this 2	day of force of day
Guosonio de acces	trans amo 1 1
	Notary Rublic
	7/7/109
	My commission expires

-4-

PATENT

REEL: 013033 FRAME: 0850

U.S.S.N. 09/964,956 Filed: September 26, 2001

Date:	
	Signature of: William Grosse
State of	
Country of	
Subscribed and sworn to before me this	day of
	Notary Public
	My commission expires
Date: 6/20/01 State of Lennochicut	Signature of: John Alsobrook II
Country of USA	
Subscribed and sworn to before me this 2	day of fune 3002. Notary Public My commission expires 278/11/

U.S.S.N. 09/964,956 Filed: September 26, 2001

Date: 6-20-02	1 emismules
<i>A</i>	Signature of: Denise Lepley
State of Connecticet	_
Country of USA	_
Subscribed and sworn to before me this <u>W</u>	day of fune 3002. Molary Public My commission expires 7000.
Date: 6/20/02 State of 6000004004 Country of USA	Signature of: Catherine Burgess
Subscribed and sworn to before me this 20	Notary Rublic My commission expires 2/28/01/

U.S.S.N. 09/964,956 Filed: September 26, 2001	
Date: 6 20 02	Signature of: Muralidhara Padigaru
State of <i>Connecticut</i> Country of <i>USA</i>	_
Subscribed and sworn to before me this <u>A</u>	day of fine, 2002. Notary full of My commission expires 78/8/.
State of USA	Rabbut Signature of: Ramesh Kekuda
Subscribed and sworn to before me this 20	Notary Public My comparission expires 2/2/01
Date: 6/20/0 State of <u>former first</u> Country of <u>USA</u>	Signature of: Kimberly Spytek
Subscribed and sworn to before me this <u>AC</u>	Notary Vublic My commission expires 7/28/04

-7-

U.S.S.N. 09/964,956 Filed: September 26, 2001	
State of Longericut Country of USA	Signature of Martin Seach
Subscribed and sworn to before me this W	Notary Public My commission expires 7/9/9
Date: (100/07	Signature of: Richard Shimkets

Country of ___

Subscribed and sworn to before me this 20 day of fure, 2002

TRA 1621487v1

Express Mail Label No.: EV139498955US

Date of Deposit: June 26, 2002

PATENT APPLICATION

Attorney Docket No. 21402-124 (CURA-424)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS:

Gerlach, et al

SERIAL NUMBER:

09/964.956

EXAMINER:

Not Yet Assigned

FILING DATE:

September 26, 2001

ART UNIT:

1614

For:

NOVEL PROTEINS AND NUCLEIC ACIDS ENCODING SAME

BOX ASSIGNMENT

Commissioner for Patents and Trademarks

Washington, D.C. 20231

TRANSMITTAL LETTER

Transmitted herewith for filing in the present application are the following documents:

- 1. RECORDATION COVER SHEET (1 pg.);
- 2. Executed ASSIGNMENTS (2 Assignments, 8 pgs. Each, 16 total pgs.)
- 3. A check for \$40.00 (#13231); and
- 4. A return postcard.

The enclosed check is to cover the \$40.00 recordation fee under 37 C.F.R. § 1.21(h). Although Applicants believe that no additional fees are due in connection with this submission, the Commissioner is authorized to credit any overpayment or charge any deficiencies to Deposit Account No. 50-0311, Reference No. 21402-124 (CURA-424). A duplicate copy of this transmittal letter is enclosed.

Respectfully submitted,

Date: June 26, 2002

Ivor R. Elrifi, Reg. No. 39,529 Attorney/Agent for Applicants

c/o MINTZ, LEVIN

One Financial Center

Boston, Massachusetts 02111

Tel: (617) 542-6000 Fax: (617) 542-2241

TRA 1684115v1

Express Mail Label No.: EV 139498 96405
Date of Deposits

Date of Deposit: June 24, 2003 Attorney Docket No. 21402-124 (CURA-424)

ASSIGNMENT

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U.S.S.N. 09/964,956

Filed: September 26, 2001

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Date: 6/20/02	Valeue Gerlach
,	Signature of: Valerie Gerlach
State of Comochicot	
State of County	_
Subscribed and sworn to before me this <u>20</u>	day of JENG, 2002. Notate Public My commission expires 2/28/03
Date: 6/29/02 State of Connect. Cut	Signature of: John MacDougall
State of Connection	
County of NEW HOUSEN	_
Subscribed and sworn to before me this 27	day of June 2002
	Notary Public My commission expires
	M1, 002411111111111111111111111111111111111

– 2 –

Date: 6/20/01 Subscribed and sworn to before me this 20 day of 1000, 200 6/20/02 Date: Signature of: Isabelle Millet Country of ______ Subscribed and sworn to before me this 20 day of Line, 200

U.S.S.N. 09/964,956

Filed: September 26, 2001

U.S.S.N. 09/964,956	
Filed: September 26, 2001	
Date: 6-20-02	1/am ///
	Signature of: Dayid Stone
State of Connecticut	
Country of <u>USA</u>	_
21	Reason 2000
Subscribed and sworn to before me this 20_	day of fune seem.
	Mada wo m
	Notary Public 1
•	120 1 7/12/11/
	My commission expires
Date:	141/
	Signature of: Erik Gunther
State of Connecticut	
Country of USA	_
Country of	
Subscribed and sworn to before me this 20	day of PUNE, 2002
Subscribed and sworn to before the diag	
	/ ATRILLO IT
	Notary Public
	My commission expires
	My contains the expires
	12 611
Date: $\sqrt{90/09}$	Signature of: Karen Ellerman
	Signature of Traces Energian
State of	_
Country of USA	
	lean 2002
Subscribed and sworn to before me this 2	day of June , June .
	XXXX QUVO / Y)
	Notary Rublic
	ZA 1 W 1
	7/18/04
_	My commission expires 2/28/04.

-4-

PATENT

U.S.S.N. 09/964,956 Filed: September 26, 2001

Date: **Signature of: William Grosse** State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public My commission expires ______. 6/20/02 Connecticut Signature of: John Alsobrook II Subscribed and sworn to before me this $\frac{30}{200}$ day of $\frac{1000}{2000}$

6-20-02 Date: Country of Subscribed and sworn to before me this 20 day of June 2002 Date: 6/20/02 Country of _ Subscribed and sworn to before me this 2 day of 1000, 30 Notary Rublic

U.S.S.N. 09/964,956

Filed: September 26, 2001

Date: 6 20 02	Signature of: Muralidhara Padigaru
State of Connecticut	
Country of USA	-
Subscribed and sworn to before me this 2	Notary Hubble My commission expires My commission expires
Date: 6/20/2002 State of	Signature of: Ramesh Kekuda
State of Connacticut	
Country of USA	
Subscribed and sworn to before me this 20	Notary Public 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2
4	My commission expires
Date: $6/20/3$	Signature of: Kimberly Spytek
State of Connecticut	
Country of USA ·	
Subscribed and sworn to before me this A	Notary Public My commission expires 728/04

U.S.S.N. 09/964,956 Filed: September 26, 2001

Signature of: Martin
_

Signature of Richard Shimkets

Date: 6/20/07
State of Connecticut

Country of _

Subscribed and sworn to before me this $\underline{\mathcal{X}}$ day of $\underline{\mathcal{X}}$ day of

TRA 1621487v1

Express Mail Label No.: EV 139498964US

Date of Deposit: June 2002 Attorney Docket No. 21402-124 (CURA-424)

ASSIGNMENT

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Signature of: Valerie Gerlach
<u> </u>
_ day of
Notary Public
My commission expires
Signature of: John MacDougall
day of
Notary Public
My commission expires

U.S.S.N. 09/964,956

Filed: September 26, 2001

Notary Public

U.S.S.N. 09/964,956 Filed: September 26, 2001 Date: Signature of: David Stone State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public My commission expires ______. Date: Signature of: Erik Gunther State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public My commission expires ______. Date: Signature of: Karen Ellerman State of _____ Country of _____

Subscribed and sworn to before me this ____ day of _____.

Notary Public

-4-

U.S.S.N. 09/964,956

Filed: September 26, 2001

Notary Public

Date: **Signature of: Denise Lepley** State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. **Notary Public** My commission expires ______. Date: **Signature of: Catherine Burgess** State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______.

U.S.S.N. 09/964,956

Filed: September 26, 2001

Notary Public

U.S.S.N. 09/964,956 Filed: September 26, 2001 Date: Signature of: Muralidhara Padigaru State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public My commission expires ______. Γ

Date:	
	Signature of: Ramesh Kekuda
State of	
Country of	
Subscribed and sworn to before me this	day of
	Notary Public
	My commission expires
Date:	Signature of: Kimberly Spytek
State of	
Country of	
Subscribed and sworn to before me this	day of
	Notary Public
	My commission expires

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Date: Signature of: Martin Leach State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public My commission expires ______. Date: **Signature of: Richard Shimkets** State of _____ Country of _____ Subscribed and sworn to before me this ____ day of _____. **Notary Public** My commission expires ______.

TRA 1621487v1

U.S.S.N. 09/964,956

Filed: September 26, 2001

21402-124	,
Serial No. 09/964,956 File No. Cura-424	By: IRE/SMC/1mr
Title: Novel Proteins and Nuclei	c Acids Encoding Same
Application of Gerlach, et al	Date: 9/26/01
The U.S. PTO Mail Room acknowledges receipt of the following	on the date stamped hereon:
[] Req. for CPA under 37 CFR 1.53(d) [] Change of Attorney's Address [] New Power of Attorney [] Patent Application [] Non-provisional [] Provisional Incl pages, (pgs) Specification, (pgs) Abstract, (pgs) Claims (# claims) [] Design Patent Application [] Declaration(s) [] Drawings sheet(s) (FIGS) [] Formal [] Informal [] Verified Statement claiming small entity status [X] Assignment and Cover Sheet (Z CTLT. pts. 8pgs., 16 total) [x] OtherRecordation Cover Sheet	[] Letter to Official Draftsperson [] Notice of Appeal [] Brief (x3) kx] Check for \$ _40_00 heck # _13231 kx] Transmittal Letter (x2) [] Cert. of Mailing under 37 CFR 1.8(a) [] Express Mail Label Nokv1394989550
DATE MAILED 6-20	6-02

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PATENTS ONLY			
FORM PTO-1595 (Rev. 6-93) OMB No. 0651-0011 (exp. 4/94)	U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office		
FINANCE SECTION Please record the attached original documents or copy thereof.			
Name of conveying party(ies):	2. Name and address of receiving party(ies)		
Valerie L. Gerlach (6/20/02) John MacDougall (6/20/02)	Name: CuraGen Corporation		
Glennda Smithson (6/20/02) Isabelle Millet (6/20/02) David Stone (6/20/02)	Internal Address: 555 Long Wharf Drive New Haven, CT 06511		
Erik Gunther (6/20/02) Karen Ellerman (6/20/02) William M. Grosse (3/20/02) John P. Alsobrook II (6/20/02) Denise M. Lepley (6/20/02) Catherine Burgess (6/20/02) Muralidhara Padigaru (6/20/02) Ramesh Kekuda (6/20/02)	Street Address: 555 Long Wharf Drive New Haven, CT 06511		
Kimberly A. Spytek (6/20/02) Martin D. Leach (6/20/02) Richard Shimkets (6/20/02)	Additional name(s) & address(es) attached? ☐ Yes ☐ No		
Additional name(s) of conveying party(ies) attached?			
3. Nature of conveyance:			
□ Assignment			
Execution Date: March 20, 2002 and June 20, 2002			
4Application number(s) or patent number(s):			
If this document is being filed together with a new application, the execution d			
A. Patent Application No(s):	B. Patent No(s):		
09/964,956 Additional numbers attac	ched? Yes No		
5. Name and address of party to whom correspondence	6. Total number of applications and patents involved: [1]		
Concerning document should be mailed:	7. Total fee (37 CFR 3.41) \$40.00		
Name: Ivor R. Elrifi Address: MINTZ, LEVIN, COHN, FERRIS	7. Total fee (37 CFR 3.41) \$40.00		
GLOVSKY and POPEO, P.C. One Financial Center Boston, MA 02111	The Commissioner is authorized to charge Deposit Account No: 50-0311, Reference No. 21402-124 (CURA-424).		
DO NOT USE	E THIS SPACE		
9. Statement and signature To the best of my knowledge and belief, the foregoing information is true and Sean M. Coughlin, Reg. No. 48,593	n Jun. dl. 2002		
Total number of pages including cover sheet, attachments, and document: [17]			

Mail documents to be recorded with required cover sheet information to:

BOX ASSIGNMENT Commissioner of Patents and Trademarks Washington, D.C. 20231

TRA 1684165v1

Express Mail Label No.: EV139498955US

PATENT APPLICATION

Date of Deposit: June 26, 2002 Attorney Docket No. 21402-124 (CURA-424)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS:

Gerlach, et al

SERIAL NUMBER:

09/964.956

EXAMINER:

Not Yet Assigned

FILING DATE:

September 26, 2001

ART UNIT:

1614

For:

NOVEL PROTEINS AND NUCLEIC ACIDS ENCODING SAME

BOX ASSIGNMENT

Commissioner for Patents and Trademarks Washington, D.C. 20231

TRANSMITTAL LETTER

Transmitted herewith for filing in the present application are the following documents:

- 1. RECORDATION COVER SHEET (1 pg.);
- 2. Executed ASSIGNMENTS (2 Assignments, 8 pgs. Each, 16 total pgs.)
- 3. A check for \$40.00 (#13231); and
- 4. A return postcard.

The enclosed check is to cover the \$40.00 recordation fee under 37 C.F.R. § 1.21(h). Although Applicants believe that no additional fees are due in connection with this submission, the Commissioner is authorized to credit any overpayment or charge any deficiencies to Deposit Account No. 50-0311, Reference No. 21402-124 (CURA-424). A duplicate copy of this transmittal letter is enclosed.

Respectfully submitted,

Date: June 26, 2002

Ivor R. Elrifi, Reg. No. 39,529

Attorney/Agent for Applicants

c/o MINTZ, LEVIN

One Financial Center Boston, Massachusetts 02111

Tel: (617) 542-6000 Fax: (617) 542-2241

TRA 1684115v1

Express Mail Label No.: EV 139498 9640S Date of Deposit: June 24,2003

Attorney Docket No. 21402-124 (CURA-424)

ASSIGNMENT

We, Valerie Gerlach, John MacDougall, Glennda Smithson, Isabelle Millet, David Stone, Erik Gunther, Karen Ellerman, William Grosse, John Alsobrook II, Denise Lepley, Catherine Burgess, Muralidhara Padigaru, Ramesh Kekuda, Kimberly Spytek, Martin Leach, Richard Shimkets, the undersigned, for good and valuable consideration, the receipt of which is hereby acknowledged, hereby assign, sell and transfer to CuraGen Corporation, a Delaware corporation, with offices at 555 Long Wharf Drive, 11th Floor, New Haven, CT 06511 and its successors, assigns and legal representatives, all hereinafter referred to as the ASSIGNEE: (1) my entire right, title and interest for the United States and in all countries, in and to any and all inventions, discoveries and applications which are disclosed in the application for United States Letters Patent entitled:

NOVEL PROTEINS AND NUCLEIC ACIDS ENCODING SAME

filed with the U.S. Patent and Trademark Office on September 26, 2001, given Serial No. 09/964,956, including any renewals, revivals, reissues, reexaminations, extensions, continuations and divisions thereof and any substitute applications therefor; (2) the full and complete right to file patent applications in the name of the ASSIGNEE, its designee, or in my name as the ASSIGNEE, or its designee's election, on the aforesaid inventions, discoveries and applications in all countries of the world; (3) the entire right, title and interest in and to any Letters Patent which may issue thereon in the United States or in any country, and any renewals, revivals, reissues, reexaminations and extensions thereof, and any patents of confirmation, registration and importation of the same; and (4) the entire right, title and interest in all Convention and Treaty Rights of all kinds thereon, including without limitation all rights of priority in any country of the world, in and to the above inventions, discoveries and applications.

I hereby authorize and request the competent authorities to grant and to issue any and all such Letters Patent in the United States and throughout the world to the ASSIGNEE of the entire right, title and interest therein, as fully and entirely as the same would have been held and enjoyed by me had this assignment, sale and transfer not been made.

I agree, at any time, upon the request of the ASSIGNEE, to execute and to deliver to the ASSIGNEE any additional applications for patents for said inventions and discoveries, or any part or parts thereof, and any applications for patents of confirmation, registration and importation based on any Letters Patent issuing on said inventions, discoveries, or applications and divisions, continuations, renewals, revivals, reissues, reexaminations and extensions thereof.

I further agree at any time to execute and to deliver upon request of the ASSIGNEE such additional documents, if any, as are necessary or desirable to secure patent protection on said inventions, discoveries and applications throughout all countries of the world, and otherwise to do the necessary to give full effect to and to perfect the rights of the ASSIGNEE under this Assignment, including the execution, delivery and procurement of any and all further documents evidencing this assignment, transfer and sale as may be necessary or desirable.

U.S.S.N. 09/964,956

Filed: September 26, 2001

I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

I further covenant that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

Date: 6/20/02	Valeue Gerlach
State of Comodicot	Signature of: Valerie Gerlach
County of KGO HAKEN)	
Subscribed and sworn to before me this 20	day of JENE, 2002. Notate Public My commission expires 2/28/03
Date: 6/29/02 State of Connection	Signature of: John MacDougall
County of NEW HOUSE	_
Subscribed and sworn to before me this <u>27</u>	My commission expires 474

-2-

Date: 6/20/01 Subscribed and sworn to before me this 20 day of will, 200 6/20/02 Date: Signature of: Isabelle Millet Country of _____ Subscribed and sworn to before me this day of Line, Doc Notary Public

U.S.S.N. 09/964,956

Filed: September 26, 2001

U.S.S.N. 09/964,956	α
Filed: September 26, 2001	
Date: 6-20-02	1/2000
	Signature of: Day'd Stone
State of Connecticut	
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Country of	_
Subscribed and sworn to before me this	day of lime Jaxo
<u> </u>	J- 0- 1 0 10 0
	Jyn www y
-	Notary Public)
	My commission expires
	My commission expires
	7 21
Date:	
1 1 1	Signature of: Erik Gunther
State of Connecticut	_
Country of USA	_
	_
Subscribed and sworn to before me this 20	day of fune, acr 2.
	MARINA
	Notary Public 1 1 2 1 1
	My commission expires
Date: 1/20102	man le l l man
Date. 14/30/09	Signature of: Karen Ellerman
State of <u>lonnar Licut</u>	\
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Country of DOM	
Subscribed and sworn to before me this 2	day of love of all.
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_	My commission expires 2/2/01/.
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PATENT

U.S.S.N. 09/964,956 Filed: September 26, 2001

Date:	
	Signature of: William Grosse
State of	
Country of	
Subscribed and sworn to before me this	_ day of
	Notary Public
	My commission expires
Date: 6/20/01 State of Connecticut	Signature of: John Alsobrook II
Country of <u>USA</u>	
Subscribed and sworn to before me this 20	day of <u>fune</u> 3022. Notate Public My commission expires

U.S.S.N. 09/964,956

Filed: September 26, 2001

Date: 6-2002	1 souse Mply
State of Connecticut	Signature of: Denise Lepley
Country of USA	- -
Subscribed and sworn to before me this <u>20</u>	My commission expires Application of the property Public Total Control of the public Total Control of the property Public Total Control of the public Total C
Date: 6/20/02 State of 6nnecficut Country of USA	Signature of: Catherine Burgess
Subscribed and sworn to before me this 2	Notary Rublic 2 10 8 101 (

Date: 6 20 02	Signature of: Muralidhara Padigaru
State of Connecticut	
Country of USA	
Subscribed and sworn to before me this <u>20</u>	My commission expires 78/51
Date: $6/20/2002$ State of	Robbing Signature of: Ramesh Kekuda
Subscribed and sworn to before me this 20	day of 10ne, 2002.
	Notary Piblic My compression expires 2/2/04.
Date: 6/20/01 State of Connecticut	Signature of Kimberly Spytek
Country of USA ·	_
Subscribed and sworn to before me this 2	Notary Virblic My commission expires 728/04.

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U.S.S.N. 09/964,956

Filed: September 26, 2001

PATENT

	09/964,956 eptember 26, 2001	
Date:	d2062	

Signature of Martin Seach

Subscribed and sworn to before me this day of une, 2002

My commission expire

Date: 6/20/07
Signature of: Richard Shimkets

State of Connecticut

Country of <u>USA</u>

Subscribed and sworn to before me this Way of June, 2000

The state of the s

TRA 1621487v1

Country of __

Express Mail Label No.: EV 139498904US
Date of Deposit: June 24, 2003

Attorney Docket No. 21402-124 (CURA-424)

ASSIGNMENT

We, Valerie Gerlach, John MacDougall, Glennda Smithson, Isabelle Millet, David Stone, Erik Gunther, Karen Ellerman, William Grosse, John Alsobrook II, Denise Lepley, Catherine Burgess, Muralidhara Padigaru, Ramesh Kekuda, Kimberly Spytek, Martin Leach, Richard Shimkets, the undersigned, for good and valuable consideration, the receipt of which is hereby acknowledged, hereby assign, sell and transfer to CuraGen Corporation, a Delaware corporation, with offices at 555 Long Wharf Drive, 11th Floor, New Haven, CT 06511 and its successors, assigns and legal representatives, all hereinafter referred to as the ASSIGNEE: (1) my entire right, title and interest for the United States and in all countries, in and to any and all inventions, discoveries and applications which are disclosed in the application for United States Letters Patent entitled:

NOVEL PROTEINS AND NUCLEIC ACIDS ENCODING SAME

filed with the U.S. Patent and Trademark Office on September 26, 2001, given Serial No. 09/964,956, including any renewals, revivals, reissues, reexaminations, extensions, continuations and divisions thereof and any substitute applications therefor; (2) the full and complete right to file patent applications in the name of the ASSIGNEE, its designee, or in my name as the ASSIGNEE, or its designee's election, on the aforesaid inventions, discoveries and applications in all countries of the world; (3) the entire right, title and interest in and to any Letters Patent which may issue thereon in the United States or in any country, and any renewals, revivals, reissues, reexaminations and extensions thereof, and any patents of confirmation, registration and importation of the same; and (4) the entire right, title and interest in all Convention and Treaty Rights of all kinds thereon, including without limitation all rights of priority in any country of the world, in and to the above inventions, discoveries and applications.

I hereby authorize and request the competent authorities to grant and to issue any and all such Letters Patent in the United States and throughout the world to the ASSIGNEE of the entire right, title and interest therein, as fully and entirely as the same would have been held and enjoyed by me had this assignment, sale and transfer not been made.

I agree, at any time, upon the request of the ASSIGNEE, to execute and to deliver to the ASSIGNEE any additional applications for patents for said inventions and discoveries, or any part or parts thereof, and any applications for patents of confirmation, registration and importation based on any Letters Patent issuing on said inventions, discoveries, or applications and divisions, continuations, renewals, revivals, reissues, reexaminations and extensions thereof.

I further agree at any time to execute and to deliver upon request of the ASSIGNEE such additional documents, if any, as are necessary or desirable to secure patent protection on said inventions, discoveries and applications throughout all countries of the world, and otherwise to do the necessary to give full effect to and to perfect the rights of the ASSIGNEE under this Assignment, including the execution, delivery and procurement of any and all further documents evidencing this assignment, transfer and sale as may be necessary or desirable.

U.S.S.N. 09/964,956

Filed: September 26, 2001

I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

I further covenant that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

Date:		
	Signature of: Valerie Gerlach	
State of		
County of		
Subscribed and sworn to before me this	day of	
	Notary Public	
	My commission expires	·
Date:		
	Signature of: John MacDougall	
State of		
County of		
Subscribed and sworn to before me this	day of	
	Notary Public	<u> </u>
	My commission expires	<u></u> .

Date:

Signature of: Glennda Smithson

State of ______
County of ______

Subscribed and sworn to before me this ____ day of ______.

Notary Public
My commission expires ______.

Date:

Signature of: Isabelle Millet

State of ______
Country of ______
Subscribed and sworn to before me this ____ day of ______.

U.S.S.N. 09/964,956

Filed: September 26, 2001

Notary Public

My commission expires ______.

U.S.S.N. 09/964,956 Filed: September 26, 2001 Date: Signature of: David Stone State of _____ Country of _____ Subscribed and sworn to before me this ____ day of _____. Notary Public My commission expires ______. Date: Signature of: Erik Gunther State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. **Notary Public** My commission expires ______. Date: Signature of: Karen Ellerman State of _____

My commission expires ______.

Notary Public

Subscribed and sworn to before me this _____ day of ______.

Date: 3/20/02 Signature of: Within Grosse Country of USA Subscribed and sworn to before me this day of Notary Public Date: Signature of: John Alsobrook II State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______.

Notary Public

My commission expires ______.

U.S.S.N. 09/964,956

Filed: September 26, 2001

Date: **Signature of: Denise Lepley** State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public My commission expires ______. Date: **Signature of: Catherine Burgess** State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______.

U.S.S.N. 09/964,956

Filed: September 26, 2001

Notary Public

My commission expires ______.

U.S.S.N. 09/964,956 Filed: September 26, 2001 Date: Signature of: Muralidhara Padigaru State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public My commission expires ______. Date: Signature of: Ramesh Kekuda State of _____ Country of _____ Subscribed and sworn to before me this _____ day of _____. Notary Public My commission expires ______. Date: Signature of: Kimberly Spytek

Country of _____ Subscribed and sworn to before me this _____ day of ______. **Notary Public**

My commission expires ______.

U.S.S.N. 09/964,956 Filed: September 26, 2001 Date: Signature of: Martin Leach State of _____ Country of _____ Subscribed and sworn to before me this _____ day of ______. Notary Public My commission expires ______. Date: **Signature of: Richard Shimkets** State of _____ Country of _____

Subscribed and sworn to before me this _____ day of _______.

TRA 1621487v1

-8-

Notary Public

My commission expires ______.