

08-23-2002

EEI

To the Honorable Commissioner of



Attached original documents or copy thereof

1. Submission Type:

☒ New☐ Resubmission (Non-Recordation)

Document ID#

☐ Correction of PTO Error

Reel #

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Data Element in Question:

102200356

Type:

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

AUG 19 2002

US. GOVERNMENT

(For Use ONLY by U.S. Government Agencies)

☐ Departmental File☐ Secret File

Total No. of pages of conveyance document including attachments

4. Name of conveying party(ies):

1. James E. Sheppeck
2. Jingwu Duan
3. Chu-Biao Xue
4. Zelda Wasserman

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

Execution Date: Inventor 1: 7/25/2002, Inventor 2: 7/29/2002, Inventor 3: 8/10/2002, Inventor 4: 8/6/2002

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

Bristol-Myers Squibb Company  
 (formerly D/B/A DuPont Pharmaceuticals Company)  
 Patent Department  
 P.O. Box 4000  
 Princeton, NJ 08543-4000

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

6. 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): 10/155,575

B. Patent No.(s):

Docket No.: PH-7350

Additional numbers attached: ☐ Yes ☒ No

7. Correspondent Name &amp; Address:

JING S. BELFIELD  
 BRISTOL-MYERS SQUIBB COMPANY  
 PATENT DEPARTMENT  
 P.O. BOX 4000  
 PRINCETON, NJ 08543-4000

8. Total number of applications and patents involved: 1

9. Total fee (37 CFR 3.41) ..... \$40.00

☐ Enclosed (Check No.: \_\_\_\_\_)☒ Authorized to be charged to deposit account

10. Deposit account number: 193880

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

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11. 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.

Diane C. Pickering

Diane C. Pickering, Assistant IP Paralegal

Signature

Date

08/23/2002 GTN11 00000012 193880 10155575

01 FC:581

40.00 CH

Total number of pages comprising cover sheet: 1

PATENT  
 REEL: 013208 FRAME: 0583

## PATENT APPLICATION ASSIGNMENT

We, the undersigned

Hereby declare that

We are the true and first inventors of an invention entitled HYDANTOINS AND RELATED HETEROCYCLES AS INHIBITORS OF MATRIX METALLOPROTEINASES AND/OR TNF- $\alpha$  CONVERTING ENZYME (TACE) (and which is identified as Case Number PH-7350) and which is disclosed in an application for Letters Patent in the United States of America.

For valuable consideration, the receipt and adequacy of which is hereby acknowledged and in fulfillment of our pre-existing obligation of assignment, we hereby:

I. Sell, assign, and transfer unto **Bristol-Myers Squibb Company**, a General Partnership organized and existing under the laws of the State of Delaware in the United States of America and having its principal place of business at Chestnut Run Plaza, 974 Centre Road, Wilmington, Delaware 19805, hereinafter referred to as the assignee, (A). the sole and entire right, and interest in and to: (1) the aforesaid application for Letters Patent, (2) any priority rights derived from the aforesaid application for Letters Patent by virtue of intellectual property for any and all member countries of the aforesaid International Convention or other treaty or understanding, (3) any and all of our inventions, whether joint or sole, disclosed in the aforesaid application for Letters Patent, (4) any and all applications for Letters Patent for any such inventions in any country whatsoever, (5) any and all patents for any such inventions in any country whatsoever; and (B) the sole right to (1) file such applications in its name or ours, (2) file such applications under the aforesaid International Convention or other treaty or understanding, (3) have said patents granted in its name or ours, and (4) enforce said patents and to sue for and recover profits and damages for any and all infringements thereof whether past or future; and

II. Agree, whenever requested, to communicate to said assignee, its successors, assigns, and legal representatives, any facts known to us respecting said rights, to testify in any legal proceeding respecting said rights, to execute all applications, papers or instruments necessary or required by said assignee, its successors, assigns and legal representatives, to carry into effect any of the provisions of this instrument, and generally to do everything possible to aid said assignee, its successors, assigns, and legal representatives to obtain and enforce proper patent protection for said inventions in any and all countries.

We further authorize our attorney/patent agent to insert below\* the application number and filing date of the aforesaid United States application now identified as Case Number. After the same shall have been made known to him/her by the United States Patent Office.

Date: July 25, 2002  
James E. Sheppeck (L.S.)  
 James E. Sheppeck

Date: July 29, 2002  
Jingwu Duan (L.S.)  
 Jingwu Duan

Date: August 10, 2002  
Chu-Biao Xue (L.S.)  
 Chu-Biao Xue

Date: August 6, 2002  
Zelda Wasserman (L.S.)  
 Zelda Wasserman

\*The application referred to above (Case No. PH-7350) was filed in the United States Patent Office on May, 23, 2002, and was given Application No. 10/155,575.

This insertion made by me this 14th day of August, 2002

Eric Seybold  
 ATTORNEY/PATENT AGENT FOR APPLICANTS

## Certificate of Mailing

In the Application of: SHEPPECK ET AL

CASE NO.: PH-7350

APPLICATION NO.: 10/155,575

GROUP ART UNIT: 1614

FILED: MAY 23, 2002

EXAMINER: UNKNOWN

FOR: HYDANTOINS AND RELATED HETEROCYCLES AS INHIBITORS OF  
MATRIX METALLOPROTEINASES AND/OR TNF-ALPHA CONVERTING ENZYME  
(TACE)

I hereby certify that this correspondence a **Assignment,  
Assignment Coversheet, Fee Transmittal Sheet and Postcard**  
are being deposited with the United States Postal Service with  
sufficient postage in an envelope addressed to:

Assist. Commissioner For Patents

Box: Assignment Branch

Washington, DC 20231

On

8/14/02  
Date  
SignatureDiane C. Pickering/Depositor

Type or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each  
submitted paper.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 40.00

## Complete If Known

Application Number 10/155,575  
Filing Date May 23, 2002  
First Named Inventor Sheppeck et al  
Examiner Name Unknown  
Group / Art Unit 1614  
Attorney Docket No. PH-7350

### METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
- ☒ Deposit Account Number 193880
- ☒ Deposit Account Name Bristol-Myers Squibb Company
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27

### 2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description        | Fee Paid |
|----------------|-----------------|----------------|-----------------|------------------------|----------|
| 101            | 740             | 201            | 355             | Utility filing fee     |          |
| 106            | 330             | 206            | 160             | Design filing fee      |          |
| 107            | 510             | 207            | 245             | Plant filing fee       |          |
| 108            | 740             | 208            | 355             | Reissue filing fee     |          |
| 114            | 160             | 214            | 75              | Provisional filing fee |          |
| SUBTOTAL (1)   |                 |                |                 |                        | (\$)     |

#### 2. EXTRA CLAIM FEES

|                    |  |       |   |              |   |                |   |          |
|--------------------|--|-------|---|--------------|---|----------------|---|----------|
| Total Claims       |  | -20** | = | Extra Claims | X | Fee from below | = | Fee Paid |
| Independent Claims |  | -3**  | = |              | X |                | = | 0        |
| Multiple Dependent |  |       |   |              | X |                | = | 0        |

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description  |
|----------------|-----------------|----------------|-----------------|--|
| 103            | 18              | 203            | 9               | Claims in excess of 20                                     |
| 102            | 84              | 202            | 40              | Independent claims in excess of 3                          |
| 104            | 280             | 204            | 135             | Multiple dependent claim, if not paid                      |
| 109            | 84              | 209            | 40              | ** Reissue independent claims over original patent         |
| 110            | 18              | 210            | 9               | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2)

(\$)

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description  | Fee Paid |
|----------------|-----------------|----------------|-----------------|--|----------|
| 105            | 130             | 205            | 65              | Surcharge - late filing fee or oath  |          |
| 127            | 50              | 227            | 25              | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139            | 130             | 139            | 130             | Non-English specification  |          |
| 147            | 2,520           | 147            | 2,520           | For filing a request for ex parte reexamination                            |          |
| 112            | 920*            | 112            | 920*            | Requesting publication of SIR prior to Examiner action                     |          |
| 113            | 1,840*          | 113            | 1,840*          | Requesting publication of SIR after Examiner action                        |          |
| 115            | 110             | 215            | 55              | Extension for reply within first month                                     |          |
| 116            | 400             | 216            | 195             | Extension for reply within second month                                    |          |
| 117            | 920             | 217            | 445             | Extension for reply within third month                                     |          |
| 118            | 1,440           | 218            | 695             | Extension for reply within fourth month                                    |          |
| 128            | 1,960           | 228            | 945             | Extension for reply within fifth month                                     |          |
| 119            | 310             | 219            | 155             | Notice of Appeal   |          |
| 120            | 310             | 220            | 155             | Filing a brief in support of an appeal                                     |          |
| 121            | 270             | 221            | 135             | Request for oral hearing   |          |
| 138            | 1,510           | 138            | 1,510           | Petition to institute a public use proceeding                              |          |
| 140            | 110             | 240            | 55              | Petition to revive - unavoidable   |          |
| 141            | 1,240           | 241            | 620             | Petition to revive - unintentional   |          |
| 142            | 1,240           | 242            | 620             | Utility issue fee (or reissue)   |          |
| 143            | 440             | 243            | 220             | Design issue fee   |          |
| 144            | 600             | 244            | 300             | Plant issue fee  |          |
| 122            | 130             | 122            | 130             | Petitions to the Commissioner  |          |
| 123            | 130             | 123            | 50              | Petitions related to provisional applications                              |          |
| 126            | 240             | 126            | 240             | Submission of Information Disclosure Stmt                                  |          |
| 581            | 40              | 581            | 40              | Recording each patent assignment per property (times number of properties) | 40       |
| 146            | 710             | 246            | 355             | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149            | 710             | 249            | 355             | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 (RCE)      | 710             | 279            | 355             | Request for Continued Examination  |          |
| 169            | 900             | 169            | 900             | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

### SUBMITTED BY

### Complete (if applicable)

Name (Print/Type) Jing S. Belfield Registration No. Attorney/Agent 45,914 Telephone 302-467-5262  
Signature [Signature] Date 8/14/2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PATENT

RECORDED: 08/19/2002

REEL: 013208 FRAME: 0586