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FORM COVER SHEET

PATENTS ONLY

Attorney Docket Number

11181-004

TO THE HONORABLE COMMISSIONER OF PATENTS AND TRADEMARKS

Box Assignment
Washington, DC 20231

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

10-23-02

Feng Liu, Angus C. Nairn and Paul GreengardAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

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

Name: **The Rockefeller University**Address: **1230 York Avenue****New York, New York 10021-6399**

Country (if other than USA):

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ OtherExecution Date: **September 18, 2002 (Liu and Nairn), September 17, 2002 (Greengard)**

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) **10/175,190**

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

**PENNIE & EDMONDS LLP
1155 Avenue of Americas
New York, N.Y. 10036-2711**6. Number of applications and patents involved: **1**7. Total fee (37 CFR 3.41): **\$ 40.00**

Please charge to the deposit account listed in Section 8.

8. Deposit account number:

16-1150

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.

*by Anne M. Schneiderman Reg. No. 43,095***Nikolaos C. George****39,201***Nikolaos C George***October 23, 2002**

Name of Person Signing

Reg. No.

Signature

Date

Total number of pages including cover sheet:

7

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

Commissioner of Patents & Trademarks, Box Assignment
Washington, D.C. 20231

10/30/2002 LHMUELLER 00000011 161150 10175190

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ASSIGNMENT

WHEREAS, WE, Feng Liu, Angus C. Nairn and Paul Greengard, ASSIGNORS, citizens of the Republic of China, the United Kingdom and the United States, respectively, residing at 20-03 Pleasant Hollow Drive, Plainsboro, New Jersey 08536, 21 Vineyard Avenue, Guilford, Connecticut 06437, and 362 East 69th Street, New York, New York 10021, respectively, are the inventors of the invention in REGULATION OF NEURONAL FUNCTION THROUGH METABOTROPIC GLUTAMATE RECEPTOR SIGNALING PATHWAYS for which we have executed an application for a Patent of the United States

- ☒ which is identified by Pennie & Edmonds LLP docket no. 11181-004
- ☒ which was filed on June 18, 2002, Application No. 10/175,190

and WHEREAS, The Rockefeller University, ASSIGNEE, an organization existing under the laws of the state of New York, having a place of business at 1230 York Avenue, New York, New York 10021-6399, is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND WE HEREBY authorize and request the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, We hereunto set our hands and seals the day and year set opposite our respective signatures.

Date Sept. 18th, 2002 [Signature] L.S.

State of NY)

County of Madison) SS.:)

On Sept. 18, 2002, before me, Marie Arcaro, Notary Public, personally appeared Feng Liu, personally known to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that she executed the same in her authorized capacity, and that by her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal

Marie Arcaro

MARIE ARCARO
MY COMMISSION EXPIRES
ON JUNE 9, 2004

Date _____, 2002 _____ L.S.

State of _____)
County of _____) SS.:

On _____, 2002, before me, _____, Notary Public, personally appeared Angus C. Nairn, personally known to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal

Date _____, 2002 _____ L.S.

State of _____)
County of _____) SS.:

On _____, 2002, before me, _____, Notary Public, personally appeared Paul Greengard, personally known to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal

ASSIGNMENT

WHEREAS, WE, **Feng Liu, Angus C. Nairn and Paul Greengard**, ASSIGNORS, citizens of the Republic of China, the United Kingdom and the United States, respectively, residing at **20-03 Pleasant Hollow Drive, Plainsboro, New Jersey 08536, 21 Vineyard Avenue, Guilford, Connecticut 06437, and 362 East 69th Street, New York, New York 10021**, respectively, are the inventors of the invention in **REGULATION OF NEURONAL FUNCTION THROUGH METABOTROPIC GLUTAMATE RECEPTOR SIGNALING PATHWAYS** for which we have executed an application for a Patent of the United States

- ☒ which is identified by Pennie & Edmonds LLP docket no. **11181-004**
- ☒ which was filed on **June 18, 2002**, Application No. **10/175,190**

and WHEREAS, **The Rockefeller University**, ASSIGNEE, an organization existing under the laws of the state of **New York**, having a place of business at **1230 York Avenue, New York, New York 10021-6399**, is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND WE HEREBY authorize and request the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, We hereunto set our hands and seals the day and year set opposite our respective signatures.

Date _____, 2002 _____ L.S.

State of _____)
County of _____) SS.:

On _____, 2002, before me, _____, Notary Public, personally appeared **Feng Liu**, personally known to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that she executed the same in her authorized capacity, and that by her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal

Date 9/18/02, 2002 Angus Nairn L.S.

State of New York)

County of New York) SS.:

On September 18, 2002, before me, Deborah Y. Yeoh, Notary Public, personally appeared Angus C. Nairn, personally known to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal

Deborah Y. Yeoh

DEBORAH Y. YEOH

Notary Public State of New York

Qualified in New York County

New York County Clerk's No. 31-4916575

Commission Expires December 7, ~~1999~~ 2005

Date _____, 2002 _____ L.S.

State of _____)

County of _____) SS.:

On _____, 2002, before me, _____, Notary Public, personally appeared Paul Greengard, personally known to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal

ASSIGNMENT

WHEREAS, WE, **Feng Liu, Angus C. Nairn and Paul Greengard**, ASSIGNORS, citizens of the Republic of China, the United Kingdom and the United States, respectively, residing at **20-03 Pleasant Hollow Drive, Plainsboro, New Jersey 08536, 21 Vineyard Avenue, Guilford, Connecticut 06437, and 362 East 69th Street, New York, New York 10021**, respectively, are the inventors of the invention in **REGULATION OF NEURONAL FUNCTION THROUGH METABOTROPIC GLUTAMATE RECEPTOR SIGNALING PATHWAYS** for which we have executed an application for a Patent of the United States

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NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

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AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, We hereunto set our hands and seals the day and year set opposite our respective signatures.

Date _____, 2002 _____ L.S.

State of _____)
County of _____) SS.:

On _____, 2002, before me, _____, Notary Public, personally appeared **Feng Liu**, personally known to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that she executed the same in her authorized capacity, and that by her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal

Date _____, 2002 _____ L.S.

State of _____)
County of _____ } SS.: _____

On _____, 2002, before me, _____, Notary Public,
personally appeared Angus C. Nairn, personally known to me on the basis of satisfactory evidence to be the person
whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized
capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed
the instrument.

WITNESS my hand and official seal

Date 9/17, 2002 [Signature] L.S.

State of New York)
County of New York } SS.: _____

On September 16, 2002, before me, M. NADER AHARI, Notary Public,
personally appeared Paul Greengard, personally known to me on the basis of satisfactory evidence to be the person
whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized
capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed
the instrument.

WITNESS my hand and official seal

[Signature]
[Signature]
M. NADER AHARI
Notary Public, State of New York
No. 31-4976631
Qualified in New York County
Commission Expires January 22, 2003