

03-14-2003

Form PTO-1595

(Rev. 10/02)

OMB No. 0651-0027 (exp. 6/30/2005)

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U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

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

1. Name of conveying party(ies): 3-12-03

The University of Hong Kong

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

3. Nature of conveyance:



Assignment



Merger



Security Agreement



Change of Name



Other \_\_\_\_\_

Execution Date: 02/21/2003

2. Name and address of receiving party(ies)

Name: HKU-Pasteur Research Center LimitedInternal Address: Finance & Enterprises OfficeStreet Address: The University of Hong Kong,  
Pokfulam Road, HONG KONG

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

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

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) \_\_\_\_\_

B. Patent No.(s) 5,973,131Additional numbers attached? ☐ Yes ☒ No

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

Name: Robert D. Katz, Esq.Internal Address: COOPER & DUNHAM LLPStreet Address: 1185 Avenue of the AmericasCity: New York State: NY Zip: 100366. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41).....\$ 40.00

Enclosed



Authorized to be charged to deposit account

8. Deposit account number:

03-3125

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9. Signature.

Robert D. Katz - Reg. No. 30,141

Name of Person Signing

Signature

March 3, 2003

Date

Total number of pages including cover sheet, attachments, and documents: 4Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

03/13/2003 ECOOPER 00000177 5973131

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PATENT  
REEL: 013828 FRAME: 0510

## **ASSIGNMENT**

THIS ASSIGNMENT is made on 21<sup>st</sup> day of February 2003

BETWEEN :-

- (1) **THE UNIVERSITY OF HONG KONG**, a body corporate established by the University of Hong Kong Ordinance (Cap.1053, LHK), whose address is at Pokfulam Road, Hong Kong (the "**Assignor**"); and
- (2) **HKU-PASTEUR RESEARCH CENTRE LIMITED**, a charitable organization registered in Hong Kong whose registered office is at the Finance & Enterprises Office, the University of Hong Kong, Pokfulam Road, Hong Kong (the "**Assignee**").

**WHEREAS :**

The Assignor is the sole and exclusive owner of United States (U.S.) Patent ("the **Patent**") as listed in Schedule A and the Assignee desires to acquire all right, title and interest throughout the world in, to and under the Patent.

**NOW THEREFORE**, in consideration of the sum of Hong Kong Dollar One Only (HK\$1.00) paid by the Assignee to the Assignor (the receipt and sufficiency of which the Assignor expressly acknowledges), the Assignor hereby sells, conveys, assigns and transfers to the Assignee and its successors its entire right, title and interest in and to the Patent.

The Assignor also assigns:-

- (1) its proprietary right of the said invention, as described in the Patent, in any form or embodiment thereof, and in and to the Patent; and in and to any application filed in any foreign country based thereon;
- (2) the entire right, title and interest in and to any and all patents or reissues or extensions thereof to be obtained in U.S. or any foreign country upon said invention or inventions and
- (3) any divisional, continuation, continuation-in-part or substitute applications which may be filed upon said invention or inventions in U.S. or any foreign country; and
- (4) any and all national patent applications that correspond in whole or in part to the continuations-in-part or substitute applications which may be filed upon said invention or inventions in the U.S. or any foreign country; together with
- (5) authority to issue any and all patents on said application or applications to said assignee or its successors; as well as
- (6) the right to sue and recover all claims for damages for all infringements, for its own use and for the use of its successors, assigns and legal representatives.

The Assignor warrants that it is the sole legal and beneficial owner of the said invention and the Patent and no license, assignment or legal or equitable charge has been granted or made in respect of any of them.

The Assignor undertakes to execute sign and do all such documents acts and things and render such assistance as the Assignee may require to secure the vesting in the Assignee of all rights in the said invention and the Patent and to enable the Assignee to enjoy the full benefit of the property and rights hereby assigned.

The validity, construction and performance of this Agreement shall be governed by the laws of HKSAR and shall be subject to the non-exclusive jurisdiction of the courts of HKSAR

which the parties hereby submit, except that a Party may seek an interim injunction in any court of competent jurisdiction.

IN WITNESS WHEREOF, the parties hereto have executed this Assignment the day and year first above written.

**Assignor:**

For and on behalf of  
The University of Hong Kong



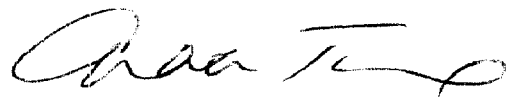
  
Name: Mr. Philip Lam  
Title: Director of Finance

In the presence of:-


  
Name: A. H. S. HO  
Title: ASSISTANT FINANCE DIRECTOR  
THE UNIVERSITY OF HONG KONG

**Assignee:**

For and on behalf of  
HKU-Pasteur Research Centre Limited

  
Name: Professor Grace Tang  
Title: Director

In the presence of:-

  
Name: Kwok Man Yi Phyllis  
Title: Clerk

**Schedule A**

**Patent: *Penicillium Marneffei* Antigenic Protein 1**

1. U.S. Patent Number: 5,973,131  
Date of Patent: 26 October 1999