

FORM PTO-1595 (modified)

(Rev 6-93)

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

RECORDATION FORM COVER SHEET
PATENTS ONLY

To the Director of the United States Patent and Trademark Office: Please record the attached original documents or copies thereof.

1. Name of conveying party(ies):

Peter B. Dervan
Nicholas Wurtz
Aileen Chang

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

California Institute of Technology
1200 E. California Blvd.
Pasadena, CA 92115

Additional conveying party(ies) NO

3. Nature of conveyance:

ASSIGNMENT

Execution Date:

P. Dervan (1/31/03); N. Wurts (2/7/03);
and A. Chang (1/29/03)

Additional name(s) & address(es) attached? NO

4. Application number(s) or patent number(s):

If this is being filed together with a new application, the execution date of the application is:

A. Patent Application Number(s):

09/772,315

B. Patent Number(s):

Additional numbers attached? NO

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

Richard San Pietro
FOLEY & LARDNER
P.O. Box 80278
San Diego, CA 92138-0278

6. Total number of applications/patents involved: 1

7. Total fee (37 C.F.R. § 3.41): \$40.00

Check Enclosed

☒ Charge to deposit account

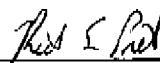
8. Deposit account number: 50-0872

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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 a true copy of the original document. The Commissioner is hereby authorized to charge any additional recordation fees which may be required in this matter to the above-identified deposit account.

Richard San Pietro



Aug 20, 2003

Name of person signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: 8

DOCUMENT ID NO.: 102385561

FORM PTO-1595 (modified)

(Rev 6-93)

RECOF



102385561

EET

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

3-5-03

PATENTS ONLY

To the Director of the United States Patent and Trademark Office: Please record the attached original documents or copies thereof.

1. Name of conveying party(ies):

Peter B. Dervan
Nicholas Wurtz
Aileen Chang

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

California Institute of Technology
1200 E. California Blvd.
Pasadena, CA 92115

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2003 MAR -5 PM 2:48
FINANCE SECTION

Additional conveying party(ies) NO

3. Nature of conveyance:

ASSIGNMENT

Execution Date:

1/29/03 and 1/31/03

Additional name(s) & address(es) attached? NO

4. Application number(s) or patent number(s):

If this is being filed together with a new application, the execution date of the application is:

A. Patent Application Number(s):

09/772,315

B. Patent Number(s):

Additional numbers attached? NO

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

Michael A. Whittaker
FOLEY & LARDNER
P.O. Box 80278

San Diego, California 92138-

0278

6. Total number of applications/patents involved: 1

7. Total fee (37 C.F.R. § 3.41): \$40.00

Check Enclosed

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8. Deposit account number: 50-0872

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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 a true copy of the original document. The Commissioner is hereby authorized to charge any additional recordation fees which may be required in this matter to the above-identified deposit account.

Michael A. Whittaker

2/28/03

Name of person signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: 5

03/07/2003 LABELER 0000024 500072 09772315

01 FEB2003 40.00 CN

023.231294.1

PATENT
REEL: 013895 FRAME: 0436

Atty. Dkt. No. 025098-0301

ASSIGNMENT AND AGREEMENT

WHEREAS, Peter B. Dervan of 1235 St. Albans Rd., San Marino, CA 91108; **Nicholas Wurtz** of 369 Waldo Avenue, #12, Pasadena, CA 91101 and **Aileen Chang** of 442 S. Catalina, #201, Pasadena, CA 91106; (hereinafter referred to singly and collectively as "ASSIGNOR") have invented a certain invention entitled **POLYAMIDE-ALKYLATOR CONJUGATES AND RELATED PRODUCTS AND METHODS** (Atty. Dkt. No. 025098-0301) for which an application for United States Letters Patent was filed on January 26, 2001 as Application No. 09/772,315; and

WHEREAS, California Institute of Technology, a corporation duly organized and existing under the laws of the State of California, and having its principal place of business at 1200 E. California Blvd., Pasadena, CA 92115 (hereinafter referred to as "ASSIGNEE") is desirous of acquiring the entire interest therein;

NOW THEREFORE, in consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, ASSIGNOR has sold, assigned, and transferred, and by these presents hereby sells, assigns, and transfers, unto ASSIGNEE, its successors and assigns, the full and exclusive right, title, and interest in and to (a) the above-identified invention or inventions and all improvements and modifications thereof, (b) the above-identified application and all other applications for Letters Patent of the United States and countries foreign thereto for the above-identified invention or inventions and all improvements and modifications thereof, (c) all Letters Patent which may issue from said applications in the United States and countries foreign thereto, (d) all divisions, continuations, reissues, and extensions of said applications and Letters Patent, and (e) the right to claim for any of said applications the full benefits and priority rights under the International Convention and any other international agreement to which the United States adheres; such right, title, and interest to be held and enjoyed by ASSIGNEE, its successors and assigns, to the full end of the term or terms for which any and all such Letters Patent may be granted as fully and entirely as would have been held and enjoyed by ASSIGNOR had this Assignment not been made.

ASSIGNOR HEREBY AUTHORIZES AND REQUESTS the Commissioner of Patents and Trademarks to issue said Letters Patent to ASSIGNEE as assignee of the entire interest, for the sole use and benefit of ASSIGNEE, its successors and assigns.

ASSIGNOR HEREBY AGREES (a) to communicate to ASSIGNEE; its successors and assigns, or their representatives or agents, all facts and information known or available to ASSIGNOR respecting said invention or inventions, improvements, and modifications including evidence for interference, reexamination, reissue, opposition, revocation, extension, or infringement purposes or other legal, judicial, or administrative proceedings, whenever requested by ASSIGNEE; (b) to testify in person or by affidavit as required by ASSIGNEE, its successors and assigns, in any such proceeding in the United States or a country foreign thereto; (c) to execute and deliver, upon request by ASSIGNEE, all lawful

Atty. Dkt. No. 025098-0301

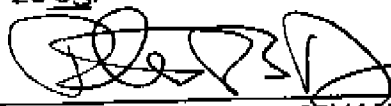
papers including, but not limited to, original, divisional, continuation, and reissue applications, renewals, assignments, powers of attorney, oaths, affidavits, declarations, depositions; and (d) to provide all reasonable assistance to ASSIGNEE, its successors and assigns, in obtaining and enforcing proper title in and protection for said invention or inventions, improvements, and modifications under the intellectual property laws of the United States and countries foreign thereto.

ASSIGNOR HEREBY REPRESENTS AND WARRANTS that ASSIGNOR has the full and unencumbered right to sell, assign, and transfer the interests sold, assigned, and transferred herein, and that ASSIGNOR has not executed and will not execute any document or instrument in conflict herewith.

ASSIGNOR HEREBY GRANTS to the law firm of Foley & Lardner the power and authority to insert in this Assignment any further identification which may be necessary or desirable to comply with the rules of the U.S. Patent and Trademark Office for recordation of this Assignment.

ASSIGNOR UNDERSTANDS AND AGREES that the attorneys and agents of the law firm of Foley & Lardner do not personally represent ASSIGNOR or ASSIGNOR's legal interests, but instead represent the interests of ASSIGNEE; since said attorneys and agents cannot provide legal advice to ASSIGNOR with respect to this Assignment, ASSIGNOR acknowledges its right to seek its own independent legal counsel.

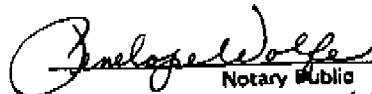
Executed this 31 day of JAN, 2003.



PETER B. DERVAN

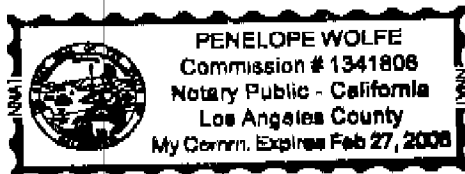
State of California)
County of Los Angeles) ss.

On this 31 day of January, 2003, before me, a notary public in and for said county, appeared PETER B. DERVAN, who is personally known to me to be the same person whose name is subscribed to the foregoing instrument, and ~~he~~ she acknowledged that ~~he~~ she signed, sealed, and delivered the said instrument as ~~his~~ her free and voluntary act for the uses and purposes therein set forth.


Notary Public

My Commission Expires: Feb. 27, 2006

(Seal)



AUG. 20. 2003
Feb-06-03 09:10

10:38AM 858 792-6773 FOLEY AND LARDNER
From-OPC INTELLECTUAL PROPERTY COUNSEL

T-810 NO. 3242 F-P. 7

Atty. Dkt. No. 025098-0301

Executed this 7th day of February, 2003.

Nicholas R. Wurtz
NICHOLAS WURTZ

State of _____)
County of _____) ss.

On this _____ day of _____, 20____, before me, a notary public in and for said county, appeared NICHOLAS WURTZ, who is personally known to me to be the same person whose name is subscribed to the foregoing instrument, and he/she acknowledged that he/she signed, sealed, and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.

Notary Public

My Commission Expires: _____

(Seal)

Executed this _____ day of _____, 20____.

AILEEN CHANG

State of _____)
County of _____) ss.

On this _____ day of _____, 20____, before me, a notary public in and for said county, appeared AILEEN CHANG, who is personally known to me to be the same person whose name is subscribed to the foregoing instrument, and he/she acknowledged that he/she signed, sealed, and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.

Notary Public

My Commission Expires: _____

(Seal)

Jan-29-03 14:41

From:OFC INTELLECTUAL PROPERTY COUNSEL

6265772528

Atty. Dkt. No. 025098-0301

Executed this _____ day of _____, 20____.

NICHOLAS WURTZState of _____)
County of _____) ss.

On this _____ day of _____, 20____, before me, a notary public in and for said county, appeared NICHOLAS WURTZ, who is personally known to me to be the same person whose name is subscribed to the foregoing instrument, and he/she acknowledged that he/she signed, sealed, and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.

Notary Public

My Commission Expires: _____

(Seal)

Executed this 29 day of JANUARY, 2003.

Aileen Y. Chang
AILEEN CHANGState of _____)
County of _____) ss.

On this _____ day of _____, 20____, before me, a notary public in and for said county, appeared AILEEN CHANG, who is personally known to me to be the same person whose name is subscribed to the foregoing instrument, and he/she acknowledged that he/she signed, sealed, and delivered the said instrument as his/her free and voluntary act for the uses and purposes therein set forth.

Notary Public

My Commission Expires: _____

(Seal)

Page 3 of 3

023.228891.1

01-29-03 16:02 TO:SCRIPPS RESEARCH INSTITUTE

FROM:6265772528

P04

RECORDED: 03/05/2003

PATENT
REEL: 013895 FRAME: 0440