



4-7-03

04-09-2003

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office
Docket No.: 3369/1K238US2



To the Honorable Commissioner of Patents and Trademarks

documents or copy thereof.

1. Name of conveying party(ies):

Edgardo T. FARINAS, Anton GLIEDER, Ulrich SCHWANEBERG, and Frances H. ARNOLD

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

3. Nature of conveyance:

- ☐ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name

☒ Other: Corrective Assignment

To Correct the execution date for each conveying party

Execution Date: October 23, 2002; October 23, 2002; October 24, 2002 and October 1, 2002

102414281

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

Name: California Institute of Technology

Internal Address:

Street Address: 1200 East California Boulevard

City: Pasadena State: CA Zip: 91125

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)

10/201,213

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Darby & Darby P.C.

Internal Address: Robert Schaffer

Street Address: Post Office Box 5257

City: New York State: New York Zip: 10150-5257

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☒ Enclosed

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04-0100

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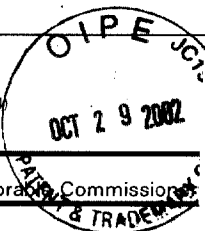
Marie Gilfillan (44,085)
Name of Person Signing

Signature

April 2, 2003
Date

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11-04-2002



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R SHEET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office
Docket No.: 3369/1K238US2

-Y 10.29.02

To the Honorable Commissioner

attached original documents or copy thereof.

1. Name of conveying party(ies):

Edgardo T. FARINAS, Anton GLIEDER, Ulrich SCHWANEBERG, and Frances H. ARNOLD

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

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other 10/23, 10/23, 10/24, 10/1

Execution Date: October 1, 2002; October 23, 2002; October 24, 2002

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

Name: **California Institute of Technology**

Internal Address:

Street Address: **1200 East California Boulevard**

City: **Pasadena** State: **CA** Zip: **91125**

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)

10/201,213

B. Patent No.(s)

EXPRESS MAIL CERTIFICATE
Date 10/29/02 Label No. EJ208553782

I hereby certify that, on the date indicated above, this paper or its contents were deposited with the U.S. Postal Service & that it was addressed for delivery to the Assistant Commissioner for Patents, Washington, DC 20231 by "Express Mail Post Office to Addressee" service.

B.W. LEE
Name (Print)

B.W. Lee
Signature

Additional numbers attached? ☐ Yes ☒ No

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

Name: Darby & Darby P.C.

Internal Address: Robert Schaffer

Street Address: Post Office Box 5257

City: New York State: New York Zip: 10150-5257

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6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00

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9. Statement and signature.

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Robert Schaffer (31,194)
Name of Person Signing

[Signature]
Signature

October 29, 2002
Date

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

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ASSIGNMENT

I, **EDGARDO T. FARINAS**, a citizen of the United States of America, residing at 320 S. SIERRA MADRE BLVD., APT. 10, PASADENA, CALIFORNIA 91107; and

I, **FRANCES H. ARNOLD**, a citizen of the United States of America, residing at 4341 ENCINAS DRIVE, PASADENA, CALIFORNIA 91101; and

I, **ULRICH SCHWANEBERG**, a citizen of GERMANY, residing at LEHMBARG 26, 27721 RITTERHUDE, GERMANY; and

I, **ANTON GLIEDER**, a citizen of AUSTRIA, residing at WETZAWINKEL 20, GLEISDORF, AUSTRIA A-8200

(hereinafter called "ASSIGNORS") in consideration of the sum of One Dollar (\$1.00) or the equivalent thereof, and other good and valuable consideration, receipt of which is hereby acknowledged, paid to us by

CALIFORNIA INSTITUTE OF TECHNOLOGY

a corporation organized under the laws of California, located at **1200 East California Boulevard, Pasadena, California 91125**, (hereinafter called the "ASSIGNEE"), do hereby sell and assign to said ASSIGNEE, its successors and assigns, all our rights, title and interest, **throughout the world, including priority rights**, in and to our invention entitled:

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invented by us, as a co-inventor if other inventors are identified above, and described in U.S. Serial No.: **10/201,213**, filed on **July 22, 2002** for United States Letters Patent therefor, and all divisions, reissues, continuations and extensions thereof, said interest being our entire ownership and interest in said Letters Patent when granted, to be held and enjoyed by said ASSIGNEE, its successors, assigns or other legal representatives, to the full end of the term for which said Letters patent may be granted, as fully and entirely as the same would have been held and enjoyed by us if this assignment and sale had not been made;

And we hereby agree to sign and execute any further documents or instruments which may be necessary, lawful, and proper in the prosecution of said above-named application or in the preparation and prosecution of any continuing, continuation-in-part, substitute, divisional, renewal or reissue applications, or in any amendment, extension, or interference proceedings, or otherwise to secure the title thereto in said ASSIGNEE;

And we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to said ASSIGNEE.

We declare under penalty of perjury under the laws of the United States of America that we have signed this document as our own free act and that all of the foregoing is true and correct.

Edgardo T. Farinas
Edgardo T. Farinas

DATED: 10/23/02

Frances H. Arnold
FRANCES H. ARNOLD

DATED: 10/23/02

ULRICH SCHWANEBERG

DATED: _____

ANTON GLIEDER

DATED: _____

And we hereby agree to sign and execute any further documents or instruments which may be necessary, lawful, and proper in the prosecution of said above-named application or in the preparation and prosecution of any continuing, continuation-in-part, substitute, divisional, renewal or reissue applications, or in any amendment, extension, or interference proceedings, or otherwise to secure the title thereto in said ASSIGNEE;

And we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to said ASSIGNEE.

We declare under penalty of perjury under the laws of the United States of America that we have signed this document as our own free act and that all of the foregoing is true and correct.

Edgardo T. Farinas

DATED: _____

FRANCES H. ARNOLD

DATED: _____

ULRICH SCHWANEBERG

DATED: _____



ANTON GLIEDER

DATED: Oct. 1st, 2002