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RECORDATION FORM (C)  
**PATENTS**



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U.S. DEPARTMENT OF  
COMMERCE  
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):

Robert J. Schwartz  
Malcolm K. Brenner

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

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

02/03/2003 (Robert J. Schwartz);  
02/03/2003 (Malcom K. Brenner)

Execution Date: \_\_\_\_\_

2. Name and address of receiving party(ies)

Name: Baylor College of Medicine

Internal Address: \_\_\_\_\_

Street Address: Texas Medical Center

One Baylor Plaza

City: Houston State: TX Zip: 77030

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) 10/315,907

B. Patent No.(s) \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

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

Name: T. Ling Chwang

Internal Address: \_\_\_\_\_

Street Address: Jackson Walker L.L.P.

2435 N. Central Expressway, Suite 600

City: Richardson State: TX Zip: 75080

6. Total number of applications and patents involved: 1

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

☒ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit account number:

50-1752

**DO NOT USE THIS SPACE**

9. Signature.

T. Ling Chwang

Name of Person Signing

T. Ling Chwang  
Signature

May 5, 2003

Date

Total number of pages including cover sheet, attachments, and documents: 4

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

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

**PATENT**  
**REEL: 014050 FRAME: 0682**

**ASSIGNMENT**

WHEREAS, we Robert J. Schwartz, a citizen of United States of America, residing at 4019 Marlowe, Harris County, Houston, TX 77005, and

Malcolm K. Brenner a citizen of the United States of America, residing at 4802 Willow, Harris County, Bellaire, TX 77401;

(herein called "Assignors"), are the co-inventors and owners of a certain new and useful invention and improvements(s) entitled "**PLASMID MEDIATED SUPPLEMENTATION FOR TREATING CHRONICALLY ILL SUBJECTS**" (herein called the "Invention"), for which a provisional application for a United States Patent was filed on December 11, 2001, and a nonprovisional application for the United States Patent was filed December 10, 2002, Application Nos. 60/339,610 and 10/315,907 respectively; and

WHEREAS, assignors are Professors at the time the invention was made (herein called "College Personnel") of **BAYLOR COLLEGE OF MEDICINE**, a non-profit corporation duly organized and existing under and by virtue of the laws of the State of Texas, and having a principal place of business at Texas Medical Center, One Baylor Plaza, Houston, Texas 77030 (herein called "Assignee");

WHEREAS, Assignors represent that they are the inventors of the Invention and that the Invention was made, conceived and/or reduced to practice while Assignors were serving in their positions of College Personnel of Assignee;

WHEREAS, Assignee is desirous of acquiring and Assignors are desirous of assigning to Assignee all of their rights to said Invention under the terms and provisions of the policy on Inventions and Patents adopted by the Board of Trustees of Baylor College of Medicine ("Baylor's Patent Policy");

WHEREAS, this assignment is preparatory to a contemplated further licensing by Assignee of the Invention to a corporation or other entity for commercialization of the Invention; and

WHEREAS, Assignors acknowledge that they are assigning their right as part of their obligations as College Personnel, their use of the facilities of Assignee to make the Invention and their desire to receive consideration under the Baylor Patent Policy;

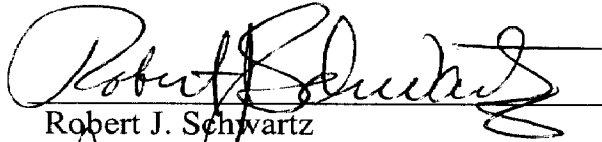
NOW, THEREFORE, Assignors, for and in consideration of the benefits to be accorded including payments to be made to, or equity to be received by, Assignors under Baylor's Patent Policy and for other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, do hereby SELL, ASSIGN and CONVEY unto Assignee all of Assignors' rights throughout the world in and to:

1. Said Invention;
2. United States of America Provisional Patent Application No. 60/339,610 on said Invention filed on December 11, 2001;
3. United States of America Patent Application No. 10/315,907 on said Invention filed on December 10, 2002;
4. All applications for patent or like protection on said Invention that have now been or may in the future be filed by Assignors or their legal representatives, whether in the United States of America or any other country or place anywhere in the world;
5. All patents and like protection that have now been or may in the future be granted on said Invention to Assignors or their legal representatives, whether in the United States of America or in any other country or place anywhere in the world;
6. All substitutions for and divisions, continuations, renewals, reissues, extensions, and the like of said applications and patents and like grants, including without limitation, those obtained or permissible under past, present and future law or statutes;
7. All rights of action on account of past, present and future unauthorized use of said Invention and for infringement of said patents and like protection;
8. The right of Assignee to file in its name applications for patents and like protection for said Invention in any country or countries foreign to the United States; and
9. All international rights or priority associated with said Invention, applications, patents and like protection.
10. Assignors covenant that Assignors, their heirs, legal representatives, assigns, administrators, and executors will, at the expense of Assignee, its successors and assigns, execute all papers and perform such other acts as may be reasonably necessary to give Assignee, its successors and assigns, the full benefit of this Assignment.
11. This assignment of the Invention is intended to be part of an integrated plan to transfer by means of license or otherwise the Invention to a corporation or other entity for commercialization of the Invention pursuant to the terms of the Baylor Patent Policy. All payments made to, or equity received by, Assignors from any corporation or other entity commercializing the Invention shall be in exchange for Assignors' assignment of the Invention hereunder and pursuant to Assignors' rights under the Baylor Patent Policy.
12. The U.S. Commissioner of Patents and Trademarks is hereby requested to issue U.S. Letters Patent in accordance with this Assignment.

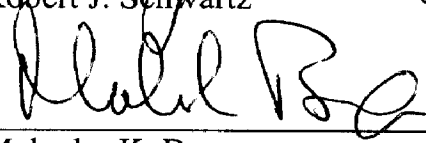
13. The Patent Offices throughout the world are requested to issue Letters Patent in accordance with this Assignment.

EXECUTED on the date indicated below opposite our signatures.

DATE: 02/03/03

  
Robert J. Schwartz

DATE: 3 Feb 03

  
Malcolm K. Brenner

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