

Attorney Docket No. 015280-353100US

Form PTO-1595

(Rev. 10-02)

OMB No. 0651-0027 (exp. 5/31/2002)

# Recordation Form Cover Sheet PATENTS ONLY

U.S. Department of Commerce  
U.S. Patent and Trademark Office

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

1. Name of conveying party(ies):

James A. Turpin

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

3. Nature of conveyance:

- ☐ Assignment
 ☐ Merger  
☐ Security Agreement
 ☐ Change of Name  
☒ Other: Correction of Filing Date listed on Notice of Recordation of Assignment

Execution Date: 3/19/01, 5/02/01, 3/30/01, 4/09/01, 4/05/01,  
5/02/01, 3/14/01, 5/02/01, 3/15/01

2. Name and address of receiving party(ies)

Name: The Government of the United States of America  
as represented by the Secretary of the Department of  
Health and Human Services

Internal Address: National Institutes of Health, Office of  
Technology Transfer

Street Address: 6011 Executive Blvd., Suite 325

City: Rockville State: MA ZIP: 20852-3804

Additional name(s) and 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): 09/701,451

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

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

Name: Kenneth E. Jenkins, Ph.D.  
TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, Eighth Floor  
San Francisco, California 94111-3834  
(415) 576-0200

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: 20-1430

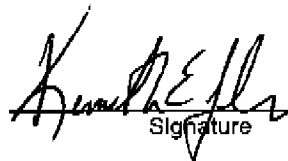
(Attach duplicate copy of this page if paying by deposit account)

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.

Kenneth E. Jenkins, Ph.D.  
Name of Person Signing  
Atty. Reg. No. 51,846



Signature

December 4, 2003  
Date

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

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Alexandria, VA 22313-1450

PATENT

REEL: 014176 FRAME: 0180

700055372

CH \$40.00 201430 09701451

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Recordation Form Cover Sheet  
Patents Only  
Page 2

1. Additional name(s) of conveying party(ies):  
(Continued from Page 1)

Yongsheng Song  
Ettore Appella  
John K. Inman  
David G. Covell  
William G. Rice  
Anders Wallqvist  
Andrew Maynard  
Mingjun Huang

2. Additional name(s) and address(es) of receiving party(ies):  
(Continued from Page 1)


3. Additional application number(s) or patent number(s):  
(Continued from Page 1)

A. Patent Application No.(s)

B. Patent No.(s)

80095307 v1

Attorney Docket No. 015280-353100US

<b>Form PTO-1595</b> (Rev. 03-01) OMB No. 0651-0027 (exp. 5/31/2002)	<b>Recordation Form Cover Sheet</b> <b>PATENTS ONLY</b>	U.S. Department of Commerce U.S. Patent and Trademark Office
Tab settings ⇒ ⇒ ⇒ ▼ ▼ ▼ ▼ ▼ ▼ ▼		
To the Honorable Commissioner of Patents and Trademarks, Please record the attached original documents or copy thereof		
1. Name of conveying party(ies): <p style="text-align: center;">James A. Turpin</p> Additional name(s) of conveying parties attached? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No.	2. Name and address of receiving party(ies) Name: The Government of the United States of America as represented by the Secretary of the Department of Health and Human Services National Institutes of Health Internal Address: Office of Technology Transfer Street Address: 6011 Executive Boulevard, Suite 325 City: Rockville State: MD ZIP: 20852-3804 Additional names and addresses attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
3. Nature of conveyance: <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Assignment  <input type="checkbox"/> Security Agreement  <input checked="" type="checkbox"/> Other: <u>Correct Filing Date on the Notice of Recordation</u> </div> <div> <input type="checkbox"/> Merger  <input type="checkbox"/> Change of Name           </div> </div> Execution Date: <u>3/19/01, 5/2/01, 3/30/01, 4/9/01, 4/5/01, 5/2/01, 3/14/01, 5/2/01, and 3/15/01</u>	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: _____ <div style="display: flex; justify-content: space-between;"> <div>A. Patent Application No(s): 09/701,451 filed 5/16/01</div> <div>B. Patent No(s):</div> </div> Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
5. Name and address of party to whom correspondence concerning document should be mailed: Name: William B. Kezer TOWNSEND AND TOWNSEND AND CREW LLP Two Embarcadero Center, 8 <sup>th</sup> Floor San Francisco, California 94111-3834 (415) 576-0200	6. Total number of applications and patents involved 1 7. Total fee (37 CFR 3.41): ----- \$No Fee <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account 8. Deposit account number: 20-1430 (Attach duplicate copy of this page if paying by deposit account)	
<b>DO NOT USE THIS SPACE</b>		
9. Statement and signature. <i>To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.</i>		
<u>William B. Kezer</u> Name of Person Signing Atty. Reg. No. 37,369	 Signature	<u>9.6.01</u> Date
Total number of pages including cover sheet, attachments and document 13		

Mail documents to be recorded with required cover to:  
 Commissioner of Patents and Trademarks, Box Assignments  
 Washington, D.C. 20231

**PATENT**  
**REEL: 014176 FRAME: 0182**

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Recordation Form Cover Sheet  
Patents Only  
Page 2

1. Additional name(s) of conveying party(ies):

(Continued from Page 1)

Youngsheng Song  
Anders Wallqvist  
Andrew Maynard  
David G. Covell  
William G. Rice  
John K. Inman  
Mingjun Huang  
Ettore Apella

2. Additional name(s) and address(es) of receiving party(ies):

(Continued from Page 1)

3. Additional application number(s) or patent number(s):

(Continued from Page 1)

A. Patent Application No.(s)

B. Patent No.(s)

SP 1263727 v1

**ASSIGNMENT**

**JOINT**

WHEREAS, We, **James A. Turpin** of 3712 Basford Road, Frederick, Maryland, 21703, a citizen of the United States; **Yongsheng Song** of 140 Mill Street, #15-107, East Haven, Connecticut, 06512, a citizen of China; **Anders Wallqvist** of 102 East 7th Street, Frederick, Maryland, 21701, a citizen of Sweden; **Andrew Maynard** of 39 York Road, Wilmington, Delaware, 19803, a citizen of the United States; **David G. Covell** of 4307 Stanford Street, Chevy Chase, Maryland, 20815, a citizen of the United States; **William G. Rice** of 87 Mill Road, Madison, Connecticut, 06443, a citizen of the United States; **John K. Inman** of 9200 Wadsworth Drive, Bethesda, Maryland, 20817-2412, a citizen of the United States; **Mingjun Huang** of 11621 Greenlane Drive, Rockville, Maryland, 20854, a citizen of China; **Ettore Appella** of 4112 Aspen Street, Chevy Chase, Maryland, 20815, a citizen of the United States; all inventors being employees of the Department of Health and Human Services at the time the invention was made, have invented: **NOVEL THIOLESTERS AND USES THEREOF**, for which an application to the Assistant Commissioner for Patents for grant of Letters Patents of the United States of America has been executed by the undersigned

☐ on (date(s) Declaration signed):

☒ is identified as U.S. Patent Application:  
Serial No. 09/701,451

Filed ; and

WHEREAS, the conditions under which said invention was made are such as to entitle the Government of the United States of America under Paragraph 1(a) of Executive Order 10096, to the entire right, title, and interest herein, both domestic and foreign; and

WHEREAS, the Government of the United States of America is desirous of acquiring all domestic and foreign right, title, and interest in the aforesaid invention described in the aforesaid application for Letters Patent of the United States of America; and

NOW, THEREFORE, to all whom it may concern, be it known that for and in consideration of the premises and other valuable considerations, we the undersigned, have sold, assigned, and transferred and by these presents do sell, assign, and transfer unto The Government of the United States of America as represented by the Secretary of the Department of Health and Human Services (hereinafter THE GOVERNMENT), and his successors, the full and exclusive right, title, and interest throughout the United States of America, its territories and dependencies, and within each and every foreign country in which THE GOVERNMENT elects to file the invention described in

the aforesaid application for Letters Patent of the United States of America, and all Letters Patents and Registrations which may be granted on the same in the United States of America and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

AND, we hereby authorize and request the Assistant Commissioner for Patents to issue said Letters Patent to THE GOVERNMENT as assignee of the entire right, title, and interest in and to the same throughout the United States of America, its territories and dependencies, and within each and every foreign country in which THE GOVERNMENT elects to file, for the sole use for the full term or terms for which said Letters Patent and Registrations may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof which may be granted as fully and entirely as the same would have been held by us, had this assignment not been made;

AND, we hereby warrant that there are no outstanding assignments, grants, liens, encumbrances, or agreements either written, oral, or implied with respect to the aforesaid application for Letters Patent which will impair, diminish, limit, or abridge the interest herein conveyed at the time of the execution of this instrument by us;

AND, we hereby agree to execute any and all applications for Letters Patent in the United States of America and foreign countries, and to furnish and deliver to the Secretary, Department of Health and Human Services, upon request, all data and documents, and to execute any papers which may be necessary for the prosecution of any application or applications of Letters Patent or for THE GOVERNMENT to exercise its rights granted hereunder, including communicating to THE GOVERNMENT, its representatives or agents, any facts relating to said invention, including evidence for interference purposes, or for other proceedings, whenever requested, to testify in any interference or other proceedings, whenever requested, and to execute and deliver on request all lawful papers required to make any of the foregoing provisions effective, and likewise make these provisions binding upon our heirs, legal representatives, administrators and assigns, and we shall assist THE GOVERNMENT in every way as may be requested in protecting said invention, provided that any expense of extending such assistance shall be paid by THE GOVERNMENT.

The undersigned hereby grants THE GOVERNMENT or the law firm of Townsend and Townsend and Crew LLP, the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

James A. Turpin 3/14/01  
(date)

STATE OF Maryland )  
COUNTY OF Frederick )

UNITED STATES OF AMERICA

On 3/19/01, before me, M. Melissa Steele (here insert name and title of the officer), personally appeared James Turpin, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, execute the instrument.

WITNESS my hand and official seal.

Signature M. Melissa Steele  
Commission expires 3/5/03

(Seal)

Yongsheng Song  
Yongsheng Song

05/02/01  
(date)

COUNTRY OF USA, New Haven, CT

On May 2, 2001, before me, DARIA D. FAR (here insert name and title of the officer), personally appeared Yongsheng Song, PhD, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, execute the instrument.

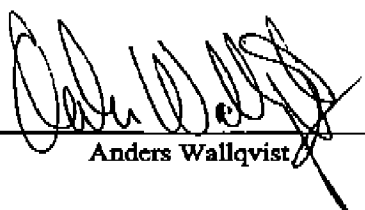
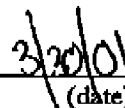
WITNESS my hand and official seal.

Signature [Signature]

(Seal)

**DARIA D. FAR**  
Notary Public, State of CT  
My Commission Expires:  
March 31, 2002



  
\_\_\_\_\_  
Anders Wallqvist  
\_\_\_\_\_  
3/30/01  
(date)COUNTRY OF USA )

On 3/30/01, before me, Kathy Louise Easterday <sup>(Notary)</sup> (here insert name and title of the officer), personally appeared Anders Wallqvist, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, execute the instrument.

WITNESS my hand and official seal.

Signature   
\_\_\_\_\_  
Kathy Louise Easterday

My Commission Expires 8/01/03

STATE OF MARYLAND  
FREDERICK COUNTY

(Seal)

Andrew Maynard  
Andrew Maynard

4/9/2001  
(date)

COUNTRY OF USA )

On APRIL 9, 2001, before me, MARIE GRELOCH (here insert name and title of the officer), personally appeared ANDREW MAYNARD personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, execute the instrument.

WITNESS my hand and official seal.

Signature Marie Greloch

(Seal)

MARIE M. GRELOCH  
NOTARY PUBLIC OF DELAWARE  
APPOINTED JULY 22, 1999  
TERM 2 YEARS

David G. Covell  
David G. Covell

4-5-01  
(date)

COUNTRY OF USA )

On 4/05/01, before me, Kathy L. Easterday, Notary (here insert name and title of the officer), personally appeared David G. Covell, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, execute the instrument.

WITNESS my hand and official seal.

Signature Kathy Louise Easterday  
Kathy Louise Easterday  
My Commission Expires 8/01/03.

(Seal)

STATE OF MARYLAND  
FREDERICK COUNTY



William G. Rice

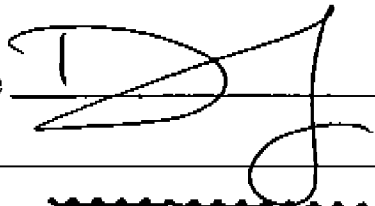
May 2, 2001  
(date)

COUNTRY OF USA, New Haven, CT

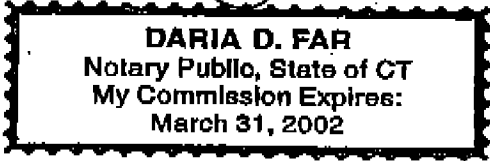
On May 2, 2001, before me, DARIA D. FAR (here insert name and title of the officer), personally appeared William G. Rice, Ph.D. personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, execute the instrument.

WITNESS my hand and official seal.

Signature



(Seal)



John K. Inman  
John K. Inman

03/14/2001  
(date)

COUNTRY OF Montgomery  
On 3-14-2001, before me, Shirley Haynes Starnes, Notary  
John K. Inman (here insert name and title of  
the officer), personally appeared John K. Inman, personally known to me (or proved  
to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to  
the within instrument and acknowledged to me that he/she/they executed the same in his/her/their  
authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the  
entity upon behalf of which the person(s) acted, execute the instrument.

WITNESS my hand and official seal.

Signature Shirley Haynes Starnes

(Seal)

SHIRLEY HAYNES STARNES  
NOTARY PUBLIC STATE OF MARYLAND  
My Commission Expires February 1, 2005

Mingjun Huang  
Mingjun Huang

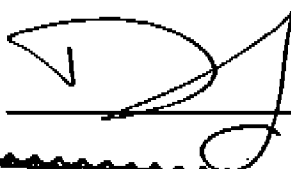
May 2, 2001  
(date)

COUNTRY OF NEW HAVEN, CT, USA

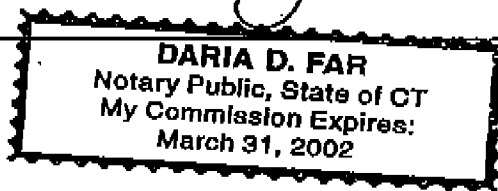
On May 2, 2001, before me, Daria D. Far (here insert name and title of the officer), personally appeared Mingjun Huang, Ph.D., personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, execute the instrument.

WITNESS my hand and official seal.

Signature



(Seal)



Ettore Appella

Ettore Appella

03/15/01

(date)

COUNTRY OF Bethesda, Maryland USA

On March 15, 2001, before me, Ann Schombert, Notary Public (here insert name and title of the officer), personally appeared Ettore Appella, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, execute the instrument.

WITNESS my hand and official seal.

Signature Ann Schombertmy commission expires 10/01/2001

(Seal)

154111  
SF 1193612 v1