

07-24-2003



Form PTO-1595

(Rev. 03/01)

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

102505201

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):

John J. Harrington (03/31/2003), Paul D. Jackson  
(03/31/2003), and Li Jiang (03/31/2003) **7-2103**Additional name(s) of conveying party(ies)  
attached?☐ Yes ☒ No

## 3. Nature of Conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ OtherExecution Date: see Box 1, conveying parties

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

Name: ATHERSYS, INC.

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

Street Address:  
3201 Carnegie AvenueCity: ClevelandState: OH Zip: 44115-2634Additional 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 new application is: \_\_\_\_\_

## A. Patent Application No.(s):

10/345115

## B. Patent No.(s):

Additional numbers attached? ☐ Yes ☒ No5. Name and address of party to whom correspondence  
concerning document should be mailed:Name: Cynthia L. Kanik, Ph.D.  
LAHIVE & COCKFIELD, LLP

Internal Address: Atty. Dkt.: ATX-004CP2

Street Address:  
28 State StreetCity:  
BostonState: MA Zip: 021096. Total number of applications and  
patents involved:7. Total fee (37 CFR 3.41) \$ 40.00☐ Enclosed☒ Authorized to be charged to deposit account☐ Authorized to be charged to credit card  
(Form 2038 enclosed)

## 8. Deposit account number:

12-0080

(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.*Cynthia L. Kanik, Ph.D. - 37,320

Name of Person Signing

Cynthia L. Kanik  
SignatureJuly 17, 2003

Date

Total number of pages including cover sheet, attachments, and documents: 3

07/23/2003 08:01:00 00000107 120080 10345115

01 FC:0021

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail, in an envelope addressed to:  
MS Assignment Recordation Services, Director of the U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450, on  
the date shown below.

Dated: July 17, 2003

Signature: Cynthia L. Kanik

(Cynthia L. Kanik, Ph.D.)

PATENT  
REEL: 014292 FRAME: 0723

**ASSIGNMENT**

We, **John Joseph Harrington**, of Mentor, OH, **Paul David Jackson** of **Shaker Heights**, OH, and **Li Jiang** of Hudson, OH, in consideration of One Dollar and other valuable consideration paid to us by:

**ATHERSYS, INC.**

a corporation of Delaware, having its principal place of business at 3201 Carnegie Avenue, Cleveland OH 44115, the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said:

**ATHERSYS, INC.**

its successors and assigns, the entire interest for the United States of America and all foreign countries including all rights of priority under the International Convention for the Protection of Industrial Property in a certain invention or improvement in:

**COMPOSITIONS AND METHODS FOR MAKING MUTATIONS IN CELL LINES AND ANIMALS**

described in an application:

☐ executed by us of even date herewith and about to be filed

☒ Serial No. 10/345,115 filed on January 15, 2003

in the United States Patent and Trademark Office, and in all Letters Patent of the United States and all foreign countries which may or shall be granted on said invention, or any parts thereof, or on said application, or any divisional, continuing, reissue or other applications based in whole or in part thereon. And we agree, for ourselves and our executors and administrators, with said corporation and its successors and assigns but at its or their expense and charges, hereafter to execute all applications, amended specifications, deed or other instrument, and to do all acts necessary or proper to secure the grant of Letters Patent in the United States and in all other countries to said corporation, with specifications and claims in such form as shall be approved by the counsel of said corporation and to vest and confirm in said corporation, its successors and assigns, the legal title to all such patents.

And we do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said corporation, its successors and assigns.

WITNESS my hand and seal this 31 day of March, 2003.

By: \_\_\_\_\_

**John Joseph Harrington**

State of OHIO )  
 ) ss  
County of Cuyahoga )

Then personally appeared the above named **John Joseph Harrington** and acknowledged the foregoing instrument to be his free act and deed, before me, this 31st day of March, 2003.

Susan Cothern

Notary Public

My Commission Expires: \_\_\_\_\_

**SUSAN COTHREN**

Notary Public, State of Ohio, Cuy. Cty.  
My Commission Expires Nov. 5, 2005

**PATENT**  
**REEL: 014292 FRAME: 0724**

WITNESS my hand and seal this 31 day of March, 2003.

By: Paul David Jackson  
**Paul David Jackson**

State of OHIO )  
 ) ss  
 County of CUYAHOGA )

Then personally appeared the above named **Paul David Jackson** and acknowledged the foregoing instrument to be his free act and deed, before me, this 31st day of MARCH, 2003.

Susan Cothern  
 Notary Public  
 My Commission Expires: SUSAN COTHREN  
 Notary Public, State of Ohio, Cuy. Cty.  
 My Commission Expires Nov. 5, 2005

WITNESS my hand and seal this 31st day of March, 2003.

By: Li Jiang  
**Li Jiang**

State of OHIO )  
 ) ss  
 County of CUYAHOGA )

Then personally appeared the above named **Li Jiang** and acknowledged the foregoing instrument to be his free act and deed, before me, this 31st day of MARCH, 2003.

Susan Cothern  
 Notary Public  
 My Commission Expires: \_\_\_\_\_

**SUSAN COTHREN**  
 Notary Public, State of Ohio, Cuy. Cty.  
 My Commission Expires Nov. 5, 2005

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003, Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$) 40.00

**Complete if Known**

Application Number	10/345115
Filing Date	January 15, 2003
First Named Inventor	John J. Harrington
Examiner Name	Not Yet Assigned
Art Unit	N/A
Attorney Docket No.	ATX-004CP2

**METHOD OF PAYMENT** (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account

Deposit Account Number: 12-0080

Deposit Account Name: Lahive &amp; Cockfield, LLP

The Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

**FEE CALCULATION**
**1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

**SUBTOTAL (1)** (\$) 0.00

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

	Extra Claims	Fee from below	Fee Paid
Total Claims	73	-73** =	0.00
Independent Claims	29	-29** =	0.00
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION** (continued)

**3. ADDITIONAL FEES**

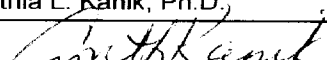
Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40.00
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) 40.00

**SUBMITTED BY**

Name (Print/Type)	Cynthia L. Kanik, Ph.D.	Registration No. (Attorney/Agent)	37,320	Telephone	(617) 227-7400
Signature		Date	July 17, 2003		

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Examiner Name	Not Yet Assigned
Art Unit	N/A
Attorney Docket No.	ATX-004CP2

**METHOD OF PAYMENT (check all that apply)**
☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None
☒ Deposit AccountDeposit Account Number **12-0080**Deposit Account Name **Lahive & Cockfield, LLP**

The Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

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<b>SUBTOTAL (2)</b>					<b>(\$)</b> 0.00

\*\*or number previously paid, if greater, For Reissues, see above

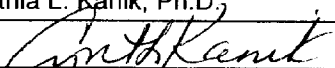
**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
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