

SEP 17 2003

RECORD

09-25-2003

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks

102558790

Documents or copy thereof.

1. Name of conveying party(ies):

Brian Ring, Douglas Ross and Rob Seitz

David Botstein, Patrick O. Brown, Charles M. Perou and Matthew van de Rijn

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: Applied Genomics, Inc.

Internal Address:

City: Sunnyvale State: CA

Country: USA

Name: Board of Trustees of Leland Stanford Junior University

Internal Address:

City: Stanford State: CA

Country: USA

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other

Execution Dates: February 14, 2002, February 14, 2002, February 14, 2002, February 25, 2002, February 1, 2002, March 5, 2002 and September 3, 2003.

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)

09/916,849 filed July 26, 2001

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Monica R. Gerber, M.D., Ph.D.
Reg. No.: 46,724

Internal Address: Choate, Hall & Stewart

Street Address: Exchange Place
53 State Street

City: Boston State: MA ZIP: 02109

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: 03-1721

(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.

Monica R. Gerber Reg. No. 46,724

Name of Person Signing

Signature

Total number of pages including cover sheet, attachments, and document: 10

09/24/2003 LNUELLER 00000131 09916849

01 FC:8021

Atty Docket No.: 2002850-0024

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Mail documents to be recorded with required cover sheet information to:
Commissioner For Patents and Trademarks, P.O. Box 1450, Alexandria, VA 22313I hereby certify that this correspondence is being deposited
with the United States Postal Service as first class mail in
an envelope addressed to: Commissioner For Patents,
P.O. Box 1450, Alexandria, VA 22313

on

ASSIGNMENT

In consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, each of the undersigned **Brian Ring** of Los Altos, CA; **Douglas Ross** of Burlingame, CA; and **Rob Seitz** of Huntsville, AL hereby

Sells, assigns and transfers to the **Applied Genomics, Inc.**, having a place of business at **525 Del Rey Avenue, Suite B, Sunnyvale, CA 94085**, its successors, assigns and legal representatives, all hereinafter referred to as the ASSIGNEE, his entire right, title and interest for the United States and all foreign countries; in and to any and all inventions which are disclosed in the application for United States Letters Patent entitled "**BASAL MARKERS IN BREAST CANCER AND RELATED REAGENTS AND METHODS OF USE THEREOF**", and given serial number **09/916,849**, in and to said application and all divisional, continuing, substitute, renewal, reissue reexamination or other application for Letters Patent which has been or shall be filed in the United States or any foreign country on any of said inventions, and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority.

Agrees that said ASSIGNEE may apply for and receive Letters Patent for said inventions in its own name and when requested, without charge to but at the expense of said ASSIGNEE, agrees to carry out in good faith the intent and purpose of this Assignment by executing all divisional, continuing, substitute, renewal, reissue, reexamination and all other patent applications on any and all said inventions; by executing all rightful oaths, assignments, powers of attorney and other papers; by communicating to said ASSIGNEE all facts known to him relating to said inventions and the history thereof, and generally by doing everything possible which said ASSIGNEE shall consider desirable for aiding in securing and maintaining proper patent protection for said inventions and for vesting title to said inventions and all applications for patents and all patents on said inventions, in said ASSIGNEE.

Hereby requests the Honorable Commissioner of Patents and Trademarks to issue said Letters Patent to said ASSIGNEE.

Covenants with said ASSIGNEE that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by him, and that full right to convey the same as herein expressed is possessed by him.

IN WITNESS WHEREOF, I hereto set my hand and seal at Palo Alto,
CA this 14 day of Feb, 2002.

Brian Ring
Brian Ring

STATE OF California
COUNTY OF Santa Clara SS.

Before me this 14th day of February, 2002, personally appeared **Brian Ring** known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.



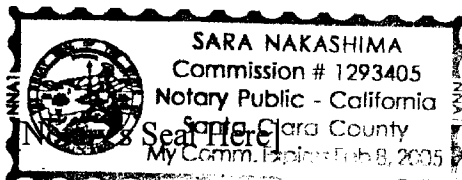
NOTARY PUBLIC Sara Nakashima
My Commission Expires: Feb 8, 2005

IN WITNESS WHEREOF, I hereto set my hand and seal at Palo Alto,
CA this 14th day of February, 2002.

Douglas Ross
Douglas Ross

STATE OF California
COUNTY OF Santa Clara SS.

Before me this 14th day of February, 2002, personally appeared **Douglas Ross** known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.



NOTARY PUBLIC Sara Nakashima
My Commission Expires: Feb 8, 2005

IN WITNESS WHEREOF, I hereto set my hand and seal at Palo Alto CA,
this 14th day of February, 2002.

Rob Seitz
Rob Seitz

STATE OF California
COUNTY OF Santa Clara SS.

Before me this 14th day of February, 2002, personally appeared **Rob Seitz** known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.

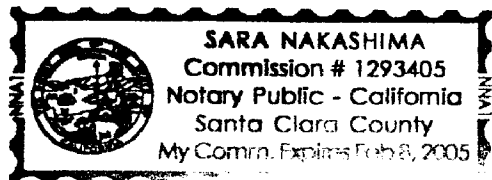
NOTARY PUBLIC Sara Nakashima

[Notary's Seal Here]

My Commission Expires:

Feb 8, 2005

3353876_1.DOC



ASSIGNMENT

In consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, each of the undersigned **David Botstein** of Belmont, CA; **Patrick O. Brown** of Stanford, CA; **Charles M. Perou** of Chapel Hill, NC; and **Matthew van de Rijn** of Woodside, CA hereby

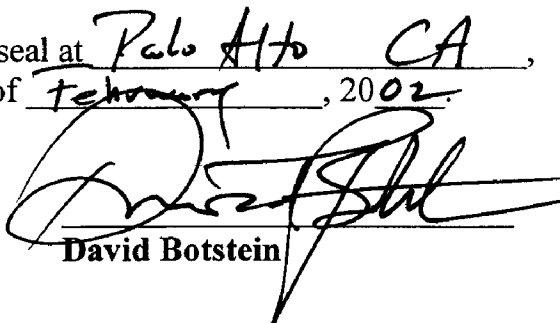
Sells, assigns and transfers to the **Board of Trustees of Leland Stanford Junior University**, having a place of business at **900 Welch Road, Suite 350, Stanford, CA 94304-1850**, its successors, assigns and legal representatives, all hereinafter referred to as the ASSIGNEE, his entire right, title and interest for the United States and all foreign countries; in and to any and all inventions which are disclosed in the application for United States Letters Patent entitled "**BASAL MARKERS IN BREAST CANCER AND RELATED REAGENTS AND METHODS OF USE THEREOF**" filed **July 26, 2001**, and given serial number **09/916,849**, in and to said application and all divisional, continuing, substitute, renewal, reissue reexamination or other application for Letters Patent which has been or shall be filed in the United States or any foreign country on any of said inventions, and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority.

Agrees that said ASSIGNEE may apply for and receive Letters Patent for said inventions in its own name and when requested, without charge to but at the expense of said ASSIGNEE, agrees to carry out in good faith the intent and purpose of this Assignment by executing all divisional, continuing, substitute, renewal, reissue, reexamination and all other patent applications on any and all said inventions; by executing all rightful oaths, assignments, powers of attorney and other papers; by communicating to said ASSIGNEE all facts known to him relating to said inventions and the history thereof, and generally by doing everything possible which said ASSIGNEE shall consider desirable for aiding in securing and maintaining proper patent protection for said inventions and for vesting title to said inventions and all applications for patents and all patents on said inventions, in said ASSIGNEE.

Hereby requests the Honorable Commissioner of Patents and Trademarks to issue said Letters Patent to said ASSIGNEE.

Covenants with said ASSIGNEE that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by him, and that full right to convey the same as herein expressed is possessed by him.

IN WITNESS WHEREOF, I hereto set my hand and seal at Palo Alto CA,
this 25 day of February, 2002.

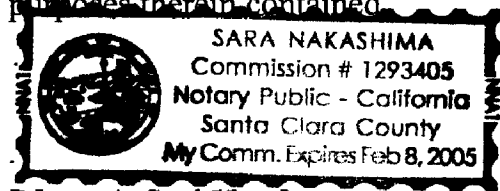

David Botstein

STATE OF California

SS.

COUNTY OF Santa Clara

Before me this 25th day of February, 2002, personally appeared
David Botstein known to me to be the person whose name is subscribed to the foregoing
Assignment and acknowledged that he executed the same as his free act and deed for the
purposes therein contained.



[Notary's Seal Here]

NOTARY PUBLIC Sara Nakashima

My Commission Expires: Feb 8, 2005

IN WITNESS WHEREOF, I hereto set my hand and seal at Palo Alto,
California this 1 day of February, 2002.

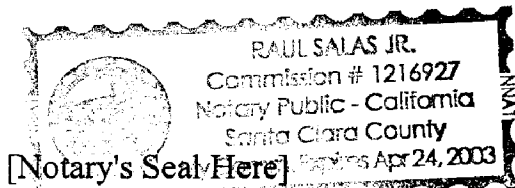

Patrick O. Brown

STATE OF California

SS.

COUNTY OF Santa Clara

Before me this 1 day of FEB, 2002, personally appeared
Patrick O. Brown known to me to be the person whose name is subscribed to the foregoing
Assignment and acknowledged that he executed the same as his free act and deed for the
purposes therein contained.



USSN 09/916,849

NOTARY PUBLIC Raul Salas Jr.

My Commission Expires: April 24, 2003

2002850-0024 (S01-503)

2 of 3

IN WITNESS WHEREOF, I hereto set my hand and seal at UNC- Chapel Hill,
this 5 day of March, 2002.

Ch M Perou
Charles M. Perou

STATE OF North Carolina SS.
COUNTY OF Orange.

Before me this 5 day of March, 2002, personally appeared
Charles M. Perou known to me to be the person whose name is subscribed to the foregoing
Assignment and acknowledged that he executed the same as his free act and deed for the
purposes therein contained.

NOTARY PUBLIC Joy A. Jeffers

[Notary's Seal Here]

My Commission Expires: **My Commission Expires**
May 16, 2009

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
this _____ day of _____, 20____.

Matthew van de Rijn

STATE OF _____ SS.
COUNTY OF _____.

Before me this _____ day of _____, 20____, personally appeared
Matthew van de Rijn known to me to be the person whose name is subscribed to the foregoing
Assignment and acknowledged that he executed the same as his free act and deed for the
purposes therein contained.

NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires:

ASSIGNMENT

In consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, each of the undersigned **David Botstein** of Belmont, CA; **Patrick O. Brown** of Stanford, CA; **Charles M. Perou** of Chapel Hill, NC; and **Jan Matthijs van de Rijn** of Woodside, CA hereby

Sells, assigns and transfers to the **Board of Trustees of Leland Stanford Junior University**, having a place of business at **900 Welch Road, Suite 350, Stanford, CA 94304-1850**, its successors, assigns and legal representatives, all hereinafter referred to as the ASSIGNEE, his entire right, title and interest for the United States and all foreign countries; in and to any and all inventions which are disclosed in the application for United States Letters Patent entitled "**BASAL MARKERS IN BREAST CANCER AND RELATED REAGENTS AND METHODS OF USE THEREOF**" filed **July 26, 2001**, and given serial number **09/916,849**, in and to said application and all divisional, continuing, substitute, renewal, reissue reexamination or other application for Letters Patent which has been or shall be filed in the United States or any foreign country on any of said inventions, and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority.

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Hereby requests the Honorable Commissioner of Patents and Trademarks to issue said Letters Patent to said ASSIGNEE.

Covenants with said ASSIGNEE that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by him, and that full right to convey the same as herein expressed is possessed by him.

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
_____ this _____ day of _____, 20____.

David Botstein

STATE OF _____
SS.

COUNTY OF _____

Before me this _____ day of _____, 20____, personally appeared
David Botstein known to me to be the person whose name is subscribed to the foregoing
Assignment and acknowledged that he executed the same as his free act and deed for the
purposes therein contained.

NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires:

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
_____ this _____ day of _____, 20____.

Patrick O. Brown

STATE OF _____
SS.

COUNTY OF _____

Before me this _____ day of _____, 20____, personally appeared
Patrick O. Brown known to me to be the person whose name is subscribed to the foregoing
Assignment and acknowledged that he executed the same as his free act and deed for the
purposes therein contained.

NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires:

USSN 09/916,849

2002850-0024 (S01-503)

2 of 3

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
this _____ day of _____, 20____.

Charles M. Perou

STATE OF _____
SS.

COUNTY OF _____.

Before me this _____ day of _____, 20____, personally appeared
Charles M. Perou known to me to be the person whose name is subscribed to the foregoing
Assignment and acknowledged that he executed the same as his free act and deed for the
purposes therein contained.

NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires:

IN WITNESS WHEREOF, I hereto set my hand and seal at STANFORD,
CALIFORNIA this 30th day of SEPTEMBER, 20 03.


Jan Matthijs van de Rijn

STATE OF CALIFORNIA
SS.

COUNTY OF SANTA CLARA.

Before me this 30th day of SEPTEMBER, 20 03, personally appeared
Jan Matthijs van de Rijn known to me to be the person whose name is subscribed to the
foregoing Assignment and acknowledged that he executed the same as his free act and deed for
the purposes therein contained.


NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires: MAY 31, 2006

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USSN 09/916,849



2002850-0024 (S01-503)

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