

07-22-2003

C

Docket No. 0575/62176/JPW/LBJ

FORM PTO-1595 (Substitute)
(Rev. 5-96)



102502839

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office
Attached original documents or copy thereof.

To the Honorable Commissioner of

1. Name of conveying party(ies):

David M. Stern - August 17, 2000
Shi Du Yan - August 17, 2000

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

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

The Trustees of Columbia University
Name: in the City of New York

Internal Address: _____

Street Address: Broadway and West 116th Street

3. Nature of Conveyance:

 Assignment Merger
 Security Agreement Change of Name
 Other Record to correct first assignor's
assignee on a document previously recorded
Execution Date(s): August 17, 2000
August 17, 2000

City/State/Zip: New York, New York 10027

name and the address of the
on Reel 11307 Frame 0526.
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(s) of the application is(are):

A. Patent Application No.(s) 09/638,647
Filed August 14, 2000

B. Patent No.(s) _____

Additional numbers attached? Yes No

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

Name: John P. White

Internal Address: Cooper & Dunham LLP

Street Address: 1185 Avenue of the Americas

City/State/Zip: New York, New York 10036

6. Total number of applications and patents involved: _____

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

 Enclosed
 Authorized to be charged to deposit account

8. Deposit account number:
03-3125

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.

John P. White _____ July 9, 2003
Name of Person Signing Signature Date
Reg. No. 28,678

I hereby certify that this correspondence is being deposited this date with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to:
Commissioner of Patents and Trademarks, Washington, D.C. 20231.

John P. White _____ July 9, 2003
Date
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Total Number of pages including cover sheet, attachments and document: _____

CH \$40.00 033125 09638647

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BOX - 300

Docket No. 0575/62176/JPW/JML

FORM PTO-1595 (Substitute)
(Rev. 8-95)

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office
documents or copy thereof.

To the Honorable Commissioner of Patents at
1. Name of conveying party(ies):
David Stern and Shi Du Yan
Additional name(s) of conveying party(ies) attached?
 Yes No

2. Name and address of receiving party(ies):
Name: The Trustees of Columbia University
in the City of New York
Internal Address: _____
Street Address: Broadway and West 116th Street
City/State/Zip: New York, New York 10036
Additional name(s) & address(es) attached? Yes No

3. Nature of Conveyance:
 Assignment Merger
 Security Agreement Change of Name
 Other _____
Execution Date(s): August 17, 2000

4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date(s) of the application is(are):
A. Patent Application No.(s) 09/638,647
filed: August 14, 2000

B. Patent No.(s) _____
Additional numbers attached? Yes No

5. Name and address of party to whom correspondence concerning document should be mailed:
Name: John P. White, Esq.
Internal Address: _____
Street Address: Cooper & Dunham LLP
1185 Avenue of the Americas
City/State/Zip: New York, New York 10036

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:
03-3125

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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.
Jane M. Love, Reg. no. 42,812 Jane M. Love November 3, 2000
Name of Person Signing Signature Date

I hereby certify that this correspondence is being deposited this date with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231.
Jane M. Love 11/3/00
Date
John P. White
Reg. No. 28,678
Jane M. Love
Reg. No. 42,812

Total Number of pages including cover sheet, attachments and document: 3

OMB No. 0651-0011 (exp. 4/94)

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

PATENT
REEL: 014686 FRAME: 0948

Dkt. 0575/62176/JPW/JML

Assignment

In consideration of One Dollar (\$1.00), and other good and valuable considerations, the receipt of which is hereby acknowledged, we, the undersigned,

*David M. Stern and Shi Du Yan residing at:
63 Tanners Road, Great Neck, New York, 11020, USA; and
60 Haven Avenue, Apartment 4-B, New York, New York 10032, USA, respectively.*

*Hereby sell, assign and transfer to The Trustees of Columbia University in
the City of New York a corporation of the State of*

*having a place of business at Broadway and West 116th Street
New York, New York 10037*

*its successors, assigns and legal representatives, the entire right, title and interest
for all countries, in and to any and all inventions which are disclosed and claimed,
and any and all inventions which are disclosed but not claimed, in the application for
United States Patent, which has been executed by the undersigned on August 17, 2000
and is entitled*

*TRANSGENIC MICE OVER-EXPRESSING ABAD AND MUTANT APP IN BRAIN AS MODEL OF
ALZHEIMER'S DISEASE AND USES THEREOF*

(U.S. Serial No.: 09/638,647, filed August 14, 2000)

*and in and to said application and all divisional, continuing, substitute, renewal,
reissue, and all other applications for U.S. Letters Patent or other related property
rights in any and all foreign countries which have been or shall be filed on any of
said inventions disclosed in said application; and in and to all original and reissued
patents or related foreign documents which have been or shall be issued on said
inventions;*

*Authorize and request the Commissioner of Patents of the United States to issue
to said Assignee, the corporation above named, its successors, assigns and legal
representatives, in accordance with this assignment, any and all United States
Letters Patent on said inventions or any of them disclosed in said application;*

PATENT
REEL: 014686 FRAME: 0949

Applicants: David Stern and Shi Du Yan

U.S. Serial No.: 09/638,647

Filed: August 14, 2000

Agree that said Assignee may apply for and receive foreign Letters Patent or rights of any other kind for said inventions, or any of them; and may claim, in applications for said foreign Letters Patent or other rights, the priority of the aforesaid United States patent application under the provisions of the International Convention of 1883 and later modifications thereof, under the Patent Cooperation Treaty, under the European Patent Convention or under any other available international agreement; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this assignment, the undersigned or the undersigned's executors or administrators will, for the United States and all foreign countries execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications or other documents on any and all said inventions; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignee, its successors, assigns and representatives, all facts known and documents available to the undersigned relating to said inventions and the history thereof; testify in all legal proceedings; and generally do everything possible which said Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing, maintaining and enforcing proper patent protection for said inventions and for vesting title to said inventions and all applications for patents or related foreign rights and all patents on said inventions, in said Assignee, its successors, assigns and legal representatives; and

Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Date: 8/17/2000 2000 19
 Witness: [Signature]
PETER S. WOLF
12 RICHARD SOMERS RD
GRANITE SPRINGS, NY 10527

David M Stern [L.S.]
 David M. Stern

Date: Shi Du Yan 8/17/2000 19
 Witness: [Signature]
PETER S. WOLF
12 RICHARD SOMERS RD
GRANITE SPRINGS, NY 10527

[Signature] [L.S.]
 Shi Du Yan