

Form PTO-1595 (Adapted)
3-13-96

10-31-2002

U.S. DEPARTMENT OF COMMERCE
Patent & Trademark Office

To the Honorable Commissioner of Pat

102267715

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Oswaldo da Costa e Silva

Nocha van Thielen

Ruoying Chen

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

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Security Agreement☐ Other☐

Merger

☐

Change of Name

Execution date(s) of each conveying party:

Oswaldo da Costa e Silva

February 9, 2001

Nocha van Thielen

February 7, 2001

Ruoying Chen

February 8, 2001

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

Name: BASF Plant Science GMBH

Address:

City: Ludwigshafen

Zip: D-67056

Country: Germany

Additional name(s) & address(es) attached?

☐ Yes☒ No

4(a). Patent Application No.(s): 10/168,846

Patent No.(s):

If this document is being filed together with a new application, the execution date of the application is:

Additional numbers attached? ☐ Yes ☒ No

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

Name: William L. Warren

Address: SUTHERLAND ASBILL & BRENNAN LLP
999 Peachtree Street, NE
Atlanta, Georgia 30309-3996

6. Total number of applications and patents involved:

7. Total fee (37 C.F.R. §3.41) enclosed: \$ 40.00

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8. 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.

I certify that this correspondence is being deposited with the United States Postal Service as first class mail in an addressed to: Box Assignments, Commissioner for Patents & Trademarks, Washington, DC 20231, on the date given below.

Total number of pages including cover sheet: 7

William L. Warren

Reg. No. 36,714

Attorney Docket No. 16313-0122

Signature

Date: October 23, 2002

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

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Box Assignments
Washington, DC 20231

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PATENT
REEL: 015055 FRAME: 0299

**ASSIGNMENT
NUNC PRO TUNC**

WHEREAS, I, **Oswaldo da Costa e Silva**, residing at 203 Littleford Lane, Apex, North Carolina, 27502, have invented certain inventions and improvements disclosed in an application for Letters Patent entitled **TRANSCRIPTION FACTOR STRESS-RELATED PROTEINS AND METHODS OF USE IN PLANTS**, assigned Serial No. **PCT/US00/34972** filed December 22, 2000 and relying for priority on U.S. Provisional Patent Application Serial No. 60/171,745 on December 22, 1999 in the United States Patent and Trademark Office; and

WHEREAS, **BASF PLANT SCIENCE GMBH**, a German corporation having principal place of business at D-67056 Ludwigshafen, Germany is desirous of acquiring an interest in the same;

NOW, THEREFORE, for and in consideration of Five Dollars (\$5.00) and other good and valuable consideration, the receipt and sufficiency of which I hereby acknowledge, I, **Oswaldo da Costa e Silva**, by these presents do sell, assign and transfer unto **BASF PLANT SCIENCE GmbH** the full, exclusive and entire right, title, and interest in and to said application, in and to any divisions, continuations, and reissues thereof, and in and to all inventions and improvements disclosed and described in said application, preparatory to obtaining Letters Patent of the United States therefor; and I hereby request the Commissioner of Patents and Trademarks to issue any and all Letters Patent of the United States resulting from said application, or from a division, continuation, or reissue thereof, to **BASF PLANT SCIENCE GmbH** as the assignee, for its interest and for the sole use and benefit of **BASF PLANT SCIENCE GmbH** and its assigns and legal representatives;

For the same consideration, I, by these presents do sell, assign, and transfer to **BASF PLANT SCIENCE GmbH**, the full, exclusive, and entire right, title and interest in and to any foreign application or applications corresponding to said application, in whole or in part, in countries other than the United States, in and to any Letters Patent

and similar protective rights granted on said foreign applications, and in and to the right to claim any applicable priority rights arising from or required for said foreign applications under the terms of any applicable conventions, treaties, statutes, or regulations; said foreign applications to be filed and issued in the name of **BASF PLANT SCIENCE GmbH** or its designee insofar as permitted by applicable law.

AND, for the same consideration, I agree to sign all lawful papers, execute all division, continuing, reissue and other applications, make all assignments and rightful oaths, and generally do everything possible to aid **BASF PLANT SCIENCE GmbH**, its successors, assigns, and nominees, to obtain and enforce proper protection for all said inventions and improvements in all countries throughout the world.

This assignment Nunc Pro Tunc is to have force and effect as of December 22, 1999.

Date: Feb 9, 2001

Oswaldo da Costa e Silva
Oswaldo da Costa e Silva

**ASSIGNMENT
NUNC PRO TUNC**

WHEREAS, I, **Nocha van Thielen**, residing at 206-T HydePark Court, Cary, North Carolina, 27513, have invented certain inventions and improvements disclosed in an application for Letters Patent entitled TRANSCRIPTION FACTOR STRESS-RELATED PROTEINS AND METHODS OF USE IN PLANTS, assigned Serial No. PCT/US00/34972 filed December 22, 2000 and relying for priority on U.S. Provisional Patent Application Serial No. 60/171,745 on December 22, 1999 in the United States Patent and Trademark Office; and

WHEREAS, **BASF PLANT SCIENCE GMBH**, a German corporation having principal place of business at D-67056 Ludwigshafen, Germany is desirous of acquiring an interest in the same;

NOW, THEREFORE, for and in consideration of Five Dollars (\$5.00) and other good and valuable consideration, the receipt and sufficiency of which I hereby acknowledge, I, **Nocha van Thielen**, by these presents do sell, assign and transfer unto **BASF PLANT SCIENCE GmbH** the full, exclusive and entire right, title, and interest in and to said application, in and to any divisions, continuations, and reissues thereof, and in and to all inventions and improvements disclosed and described in said application, preparatory to obtaining Letters Patent of the United States therefor; and I hereby request the Commissioner of Patents and Trademarks to issue any and all Letters Patent of the United States resulting from said application, or from a division, continuation, or reissue thereof, to **BASF PLANT SCIENCE GmbH** as the assignee, for its interest and for the sole use and benefit of **BASF PLANT SCIENCE GmbH** and its assigns and legal representatives;

For the same consideration, I, by these presents do sell, assign, and transfer to **BASF PLANT SCIENCE GmbH**, the full, exclusive, and entire right, title and interest in and to any foreign application or applications corresponding to said application, in whole or in part, in countries other than the United States, in and to any Letters Patent

and similar protective rights granted on said foreign applications, and in and to the right to claim any applicable priority rights arising from or required for said foreign applications under the terms of any applicable conventions, treaties, statutes, or regulations; said foreign applications to be filed and issued in the name of **BASF PLANT SCIENCE GmbH** or its designee insofar as permitted by applicable law.

AND, for the same consideration, I agree to sign all lawful papers, execute all division, continuing, reissue and other applications, make all assignments and rightful oaths, and generally do everything possible to aid **BASF PLANT SCIENCE GmbH**, its successors, assigns, and nominees, to obtain and enforce proper protection for all said inventions and improvements in all countries throughout the world.

This assignment Nunc Pro Tunc is to have force and effect as of December 22, 1999.

Date: 2.7.2001



Nocha van Thielen

**ASSIGNMENT
NUNC PRO TUNC**

WHEREAS, I, **Ruoying Chen**, residing at 105 Collier Place – 1G, Cary, North Carolina, 27513, have invented certain inventions and improvements disclosed in an application for Letters Patent entitled **TRANSCRIPTION FACTOR STRESS-RELATED PROTEINS AND METHODS OF USE IN PLANTS**, assigned Serial No.

PCT/US00/34972 filed December 22, 2000 and relying for priority on U.S. Provisional Patent Application Serial No. 60/171,745 on December 22, 1999 in the United States Patent and Trademark Office; and

WHEREAS, **BASF PLANT SCIENCE GMBH**, a German corporation having principal place of business at D-67056 Ludwigshafen, Germany is desirous of acquiring an interest in the same;

NOW, THEREFORE, for and in consideration of Five Dollars (\$5.00) and other good and valuable consideration, the receipt and sufficiency of which I hereby acknowledge, I, **Ruoying Chen**, by these presents do sell, assign and transfer unto **BASF PLANT SCIENCE GmbH** the full, exclusive and entire right, title, and interest in and to said application, in and to any divisions, continuations, and reissues thereof, and in and to all inventions and improvements disclosed and described in said application, preparatory to obtaining Letters Patent of the United States therefor; and I hereby request the Commissioner of Patents and Trademarks to issue any and all Letters Patent of the United States resulting from said application, or from a division, continuation, or reissue thereof, to **BASF PLANT SCIENCE GmbH** as the assignee, for its interest and for the sole use and benefit of **BASF PLANT SCIENCE GmbH** and its assigns and legal representatives;

For the same consideration, I, by these presents do sell, assign, and transfer to **BASF PLANT SCIENCE GmbH**, the full, exclusive, and entire right, title and interest in and to any foreign application or applications corresponding to said application, in whole or in part, in countries other than the United States, in and to any Letters Patent

and similar protective rights granted on said foreign applications, and in and to the right to claim any applicable priority rights arising from or required for said foreign applications under the terms of any applicable conventions, treaties, statutes, or regulations; said foreign applications to be filed and issued in the name of **BASF PLANT SCIENCE GmbH** or its designee insofar as permitted by applicable law.

AND, for the same consideration, I agree to sign all lawful papers, execute all division, continuing, reissue and other applications, make all assignments and rightful oaths, and generally do everything possible to aid **BASF PLANT SCIENCE GmbH**, its successors, assigns, and nominees, to obtain and enforce proper protection for all said inventions and improvements in all countries throughout the world.

This assignment Nunc Pro Tunc is to have force and effect as of December 22, 1999.

Date:

2/8/2001

Ruoying Chen

Ruoying Chen