

DOCKET NO. C1039.70048US10

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FORM PTO-1595 U.S.
(Rev. 6-93)
OMB No. 0651-0011 (exp. 4/94)

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Patent and Trademark Office

To the Commissioner for Patents : Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Dennis Klinman

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

3. Nature of conveyance:

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

Execution Date: **March 1, 2000**

2. Name and address of receiving party(ies)

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

Internal Address:

Street Address: **FDA/CBER
Building 29A, 3D10
Bethesda, Maryland 20892**

Additional name(s) & addresses(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s): **10/894,862**

If this document is being filed together with a new application, the execution date of the application is
A. Patent Application No.(s) B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: **Alan W. Steele, M.D., Ph.D.
Reg. No. 45,128**
Address: **Wolf, Greenfield & Sacks, P.C.
Federal Reserve Plaza
600 Atlantic Avenue
Boston, MA 02210**

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

**The Commissioner is authorized to charge any
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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.

Alan W. Steele, M.D., Ph.D.

Name of Person Signing

Signature

September 28, 2004

Date

Total number of pages including cover sheet, attachments, and document: **[2]**

Mail documents to be recorded with required cover sheet information to (modify as appropriate):

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ASSIGNMENT

C1039/7004 (HCL)

WHEREAS, I, Dennis Klinman, as an employee of the Department of Health and Human Services during which time co-invented "IMMUNOSTIMULATORY NUCLEIC ACID MOLECULES" for which has been made application for Letters Patent of the United States Serial No. 08/738,652 filed October 30, 1996; and

WHEREAS, I am an applicant named in the above-identified application for Letters Patent; and

WHEREAS, the conditions under which said invention was made are such as to entitle THE UNITED STATES OF AMERICA, as represented by the Secretary, Department of Health and Human Services [hereinafter THE GOVERNMENT] under Paragraph 1(a) of Executive Order 10096 to the entire right, title, and interest herein, both domestic and foreign; and

WHEREAS, THE GOVERNMENT is desirous of acquiring all domestic and foreign right, title, and interest in the above-mentioned invention described in the application for Letters Patent; and

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, I hereby assign and transfer to THE GOVERNMENT, represented by the Secretary, Department of Health and Human Services, the full and exclusive rights in and to said invention in the United States and within each and every foreign country in which THE GOVERNMENT elects to file and the entire right, title, and interest in and to such applications, and any continuations, continuations-in-part, divisions, reissues or extensions thereof, and including priority rights as may be filed in the United States and foreign countries, and such Letters Patent as may be granted to be held by THE GOVERNMENT to the end of the term for which the same would have been held by the inventor had this assignment not been made.

I further agree to make, execute, and deliver to the Secretary, Department of Health and Human Services, upon request, any and all papers, documents, affidavits, or other instruments that may be necessary in the prosecution of any application or applications for improvements or reissues of Letters Patent, and to 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.

IN WITNESS WHEREOF I subscribe my hand and seal on the dates shown below:

March 1, 2000 Dennis Klinman
Date Dennis Klinman

County of Montgomery

State of Maryland

Subscribed and sworn to before me this 1st day of March, 192000

[Seal]

Margaret L. Donoghue
Notary Public

432608.1

MY COMMISSION EXPIRES PATENT
MARCH REEL: 015194 FRAME: 0563

**F A X C O V E R**

***** OFFICIAL FAX *****

Date: September 28, 2004 **Number of pages** (including cover): 3
To: **ASSIGNMENT DIVISION**, U.S. Patent and Trademark Office
Fax No.: (703) 306-5995
Serial No.: 10/894,862
Title: **IMMUNOSTIMULATORY NUCLEIC ACID MOLECULES**

From: **Alan W. Steele, M.D., Ph.D.**
Direct dial: (617) 646-8257
Fax #: (617) 646-8646
Our File #: C1039.70048US10

CERTIFICATE OF FACSIMILE TRANSMISSION 37 C.F.R. §1.8(a)

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Alan W. Steele, M.D., Ph.D.**ORIGINAL DOCUMENTS WILL NOT BE MAILED.**

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