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Form PTO-1595
(Rev. 10/02)
OMB No. 0651-0027 (exp. 6/30/200



ET U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office
Atty Docket No.: UCAL-304

To the Honorable Commissione

102887287

attached original documents or copy thereof.

1. Name of conveying party(ies):
GREENE, WARNER C.
STOPAK, KIMBERLY SUE
deNORONHA, CARLOS M.C.
CHIU, YA-LIN
SOROS, VANESSA B.
YONEMOTO, WESLEY M.

2. Name and address of receiving party(ies)
Name: The Regents of the University of California
Internal
Address:
Street Address: 1111 Franklin Street, 12th Floor
City: Oakland State: CA Zip: 94607-5200

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

3. Nature of conveyance:

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

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

Execution Date: November 9, 2004, November 9, 2004,
August 31, 2004, November 9, 2004, November 10, 2004
and November 10, 2004.

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)

10/865,663

B. Patent Registration No.(s)

Additional number(s) attached ☐ Yes ☐ No

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

Name: Bozicevic, Field & Francis, LLP

Internal Address: 1900 University Avenue, Suite 200

City: East Palo Alto State: California Zip: 94303

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:

50-0815

(Attach duplicate copy of this page if paying by deposit account)

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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.

Paula A. Borden, Reg# 42,344

11/15/2004

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: 6

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

PATENT
REEL: 015998 FRAME: 0026

ASSIGNMENT

U.C. Case No. 2003-521-3

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- | | |
|---------------------------|------------------------|
| 1. GREENE, WARNER C. | 2. STOPAK, KIMBERLY S. |
| 3. deNORONHA, CARLOS M.C. | 4. CHIU, YA-LIN |
| 5. SOROS, VANESSA B. | 6. YONEMOTO, WESLEY M. |

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin Street, Twelfth Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

"METHODS FOR TREATING LENTIVIRUS INFECTIONS"

and which is found in

- (a) _____ U.S. Provisional Application filed herewith and listing the above named persons as inventors
(b) _____ U.S. Patent Application filed herewith and listing the above named persons as inventors
(c) X _____ U.S. Application Serial No. 10/865,663 designating the United States, filed on June 9, 2004
(d) _____ U.S. Patent No.: issued

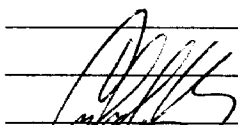
and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this Signature of Inventor(s)

- | | | | |
|----|---|---|------------------------|
| 1) | _____ day of _____, 2004 |  | GREENE, WARNER C. |
| 2) | _____ day of _____, 2004 | | STOPAK, KIMBERLY S. |
| 3) | <u>31st</u> day of <u>August</u> , 2004 | | deNORONHA, CARLOS M.C. |

- 4) _____ day of _____, 2004 _____ CHIU, YA-LIN
- 5) _____ day of _____, 2004 _____ SOROS, VANÉSSA B.
- 6) _____ day of _____, 2004 _____ YONEMOTO, WESLEY M.

ASSIGNMENTU.C. Case No. 2003-521-3

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- | | |
|---------------------------|------------------------|
| 1. GREENE, WARNER C. | 2. STOPAK, KIMBERLY S. |
| 3. deNORONHA, CARLOS M.C. | 4. CHIU, YA-LIN |
| 5. SOROS, VANESSA B. | 6. YONEMOTO, WESLEY M. |

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin Street, Twelfth Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

"METHODS FOR TREATING LENTIVIRUS INFECTIONS"

and which is found in

- (a) _____ U.S. Provisional Application filed herewith and listing the above named persons as inventors
 (b) _____ U.S. Patent Application filed herewith and listing the above named persons as inventors
 (c) X _____ U.S. Application Serial No. 10/865,663 designating the United States, filed on June 9, 2004
 (d) _____ U.S. Patent No., issued

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

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executed this Signature of Inventor(s)

- | | | | | |
|----|-----------------------|-------------------------------|---------------------------|------------------------|
| 1) | <u>9th</u> | day of <u>November</u> , 2004 | <u>Warner C. Greene</u> | GREENE, WARNER C. |
| 2) | <u>9th</u> | day of <u>November</u> , 2004 | <u>Kimberly S. Stopak</u> | STOPAK, KIMBERLY S. |
| 3) | _____ | day of _____, 2004 | _____ | deNORONHA, CARLOS M.C. |

- 4) 9th day of November, 2004 Chiu, Ya-Lin CHIU, YA-LIN
- 5) 10th day of November, 2004 Vanessa B. Soros SOROS, VANESSA B.
- 6) 10th day of November, 2004 W. M. Yonemoto YONEMOTO, WESLEY M.