

Form PTO-1595 (Rev. 03/05)
OMB No. 0651-0027 (exp. 6/30/2005)

U.S. DEPARTMENT OF COMMERCE
United States Patent and Trademark Office

RECORDATION FORM COVER SHEET PATENTS ONLY

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies)

John C. Reed, Rancho Santa Fe, CA
Quinn L. Deveraux, San Diego, CA

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

3. Nature of conveyance/Execution Date(s):

Execution Date(s) 6/13/02, 6/24/02 and 7/8/02

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Joint Research Agreement
☐ Government Interest Assignment
☐ Executive Order 9424, Confirmatory License
☐ Other _____

2. Name and address of receiving party(ies)

Name: The Burnham Institute

Internal Address: _____

Street Address: 10901 North Torrey Pines Road

City: La Jolla

State: CA

Country: USA Zip: 92037

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

4. Application or patent number(s):

A. Patent Application No.(s)

10/041,859

Attorney Docket No. 8014-016-US

☐ This document is being filed together with a new application.
B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Michael B. Farber, Esq.

Internal Address: _____

Street Address: 4330 La Jolla Village Drive

City: San Diego

State: CA Zip: 92122

Phone Number: 858-450-0099

Fax Number: 858-450-9834

Email Address: mfarber@catalystlaw.com

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 1.21(h) & 3.41) \$ 40.00

- ☐ Authorized to be charged by credit card
☒ Authorized to be charged to deposit account
☐ Enclosed
☐ None required (government interest not affecting title)

8. Payment Information

a. Credit Card Last 4 Numbers _____
Expiration Date _____

b. Deposit Account Number 502235

Authorized User Name Michael B. Farber

9. Signature:

Michael B. Farber

Signature

Date

Name of Person Signing

Total number of pages including cover sheet, attachments, and documents: 13

Documents to be recorded (including cover sheet) should be faxed to (703) 305-5995, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O. Box 1450, Alexandria, V.A. 22313-1450

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RECORDATION FORM COVER SHEET PATENTS ONLY

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies)

Bruce D. Hammock, Davis, California

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

3. Nature of conveyance/Execution Date(s):

Execution Date(s) 8/24/02

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Joint Research Agreement
☐ Government Interest Assignment
☐ Executive Order 9424, Confirmatory License
☐ Other _____

2. Name and address of receiving party(ies)

Name: The Regents of the University of California

Internal Address: _____

Street Address: 1111 Franklin Street

City: Oakland

State: CA

Country: USA Zip: 94607-5200

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

4. Application or patent number(s):

A. Patent Application No.(s)

10/041,859

☐ This document is being filed together with a new application.

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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7. Total fee (37 CFR 1.21(h) & 3.41) \$ _____

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☐ Authorized to be charged to deposit account
☐ Enclosed
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Michael B. Farber

Signature

Date

Name of Person Signing

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United States Patent and Trademark Office

RECORDATION FORM COVER SHEET PATENTS ONLY

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies)

Hiroko Maeda, as legal heir to Dr. Susumu Maeda, citizen of Japan

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

3. Nature of conveyance/Execution Date(s):

Execution Date(s) 8/12/02

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Joint Research Agreement
☐ Government Interest Assignment
☐ Executive Order 9424, Confirmatory License
☐ Other _____

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Authorized User Name Michael B. Farber

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Michael B. Farber

Signature

Date

Name of Person Signing

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Documents to be recorded (including cover sheet) should be faxed to (703) 306-5996, or mailed to:
 Mail Stop Assignment Recordation Services, Director of the USPTO, P.O. Box 1460, Alexandria, V.A. 22313-1460

Inventors: Huang, Deveraux, Reed, Maeda, and Hammock
Serial No.: 10/041,859
Filed: January 7, 2002

Page 1

JOINT ASSIGNMENT

This Assignment is made by John C. Reed of Rancho Santa Fe, California, and Quinn L. Deveraux of San Diego, California, Assignors, to The Burnham Institute, Assignee, having a place of business at 10901 North Torrey Pines Road, La Jolla, California 92037.

WHEREAS, Assignors have invented a new and useful INHIBITOR OF APOPTOSIS PROTEINS AND NUCLEIC ACIDS AND METHODS FOR MAKING AND USING THEM for which an application for United States Letters Patent was filed on January 7, 2002, in the United States Patent and Trademark Office, bearing Serial No. 10/041,859, and identified as Attorney Docket No: 087102-0272537;

WHEREAS, Assignors believe themselves to be the original inventors of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, the parties desire to have a recordable instrument assigning the entire right, title and interest in and to said invention, said application and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, in accordance with the obligations to assign the invention and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors sell, assign, and transfer to Assignee, the entire right, title, and interest in and to said invention, said application, any applications entitled to benefit of priority to said application under Title 35, United States Code, Sections 120, 121 or 251, which include divisionals, continuations and reissues, and any Letters Patent that may be granted on said invention or these applications in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties, or otherwise.

Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representatives and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing, or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording, or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

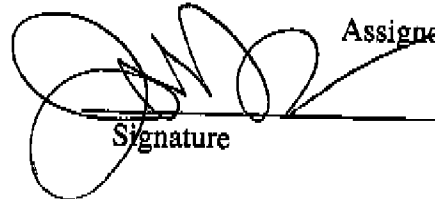
Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignors authorize and request that any United States or foreign Letters Patent granted for said invention, whether on said application or on any subsequently filed divisional, continuation or reissue application, be issued to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

Inventors: Huang, Deveraux, Reed, Maeda, and Hammock
Serial No.: 10/041,859
Filed: January 7, 2002

Page 2

IN WITNESS WHEREOF, Assignors have executed this Assignment on the date(s) provided below.

Assignor: JOHN C. REED

Signature
6-13-02
Date

STATE OF California)
COUNTY OF San Diego)

On June 13, 2002, before me, Karen Marion Overklift personally appeared John C. Reed, personally known to me - OR - X proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/~~are~~ subscribed to the within instrument and acknowledged to me that he/~~she~~/~~they~~ executed the same in his/~~her~~/~~their~~ authorized capacity(~~ies~~), and that by his/~~her~~/~~their~~ signature(~~s~~) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS by hand and official seal.

Karen Marion Overklift
(Signature of Notary)



Inventors: Huang, Deveraux, Reed, Maeda, and Hammock
Serial No.: 10/041,859
Filed: January 7, 2002

Page 3

Assignor: Quinn L. Deveraux


Signature

7/8/02
Date

STATE OF California)
COUNTY OF San Diego)

On July 8, 2002, before me, OFELIA ROSADO personally
appeared QUINN L. DEVERAUX, ☒ personally known to me - OR ☐ proved
to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to
the within instrument and acknowledged to me that he/she/they executed the same in
his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the
person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS by hand and official seal.


(Signature of Notary)



Inventors: Huang, Deveraux, Reed, Maeda, and Hammock
Serial No.: 10/041,859
Filed: January 7, 2002

Page 1 of 1

ASSIGNMENT

UC Case No. 2001-155

This Assignment is made by Bruce D. Hammock of Davis, California Assignor, to The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, Oakland, California 94607-5200.

WHEREAS, Assignor has invented a new and useful INHIBITOR OF APOPTOSIS PROTEINS AND NUCLEIC ACIDS AND METHODS FOR MAKING AND USING THEM for which an application for United States Letters Patent was filed on January 7, 2002, in the United States Patent and Trademark Office, bearing Serial No. 10/041,859, and identified as Attorney Docket No: 087102-0272537;

WHEREAS, Assignor believes himself to be an original inventor of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, the parties desire to have a recordable instrument assigning the entire right, title and interest in and to said invention, said application and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, in accordance with the obligations to assign the invention and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors sell, assign, and transfer to Assignee, the entire right, title, and interest in and to said invention, said application, any applications entitled to benefit of priority to said application under Title 35, United States Code, Sections 120, 121 or 251, which include divisionals, continuations and reissues, and any Letters Patent that may be granted on said invention or these applications in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties, or otherwise.

Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representatives and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing, or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording, or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignors authorize and request that any United States or foreign Letters Patent granted for said invention, whether on said application or on any subsequently filed divisional, continuation


Inventors: Huang, Deveraux, Reed, Maeda, and Hammock
Serial No.: 10/041,859
Filed: January 7, 2002

Page 2 of 2

or reissue application, be issued to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

IN WITNESS WHEREOF, Assignor has executed this Assignment on the date provided below.

Assignor: Bruce D. Hammock

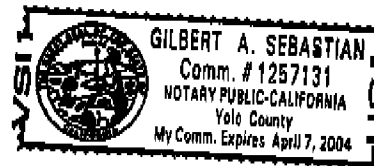

Signature



Date

STATE OF CALIFORNIA)
COUNTY OF YOLO)

On 24 JUNE 2002, before me, Bruce D. Hammock personally appeared ~~personally known to me~~ OR - ~~personally known to me~~ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS by hand and official seal.




(Signature of Notary)

ASSIGNMENT

UC Case No. 2001-155

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR,
Hiroko Maeda, as legal heir to Dr. Susumu Maeda,

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, Oakland, California 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:

INHIBITOR OF APOPTOSIS PROTEINS AND NUCLEIC ACIDS AND METHODS FOR MAKING AND USING THEM

and which was filed on January 7, 2002 as Application Serial Number 10/041,859, Attorney Docket No. 087102-0272537.

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 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 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 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 Assignor

Assignment
UC Case No. SD 155

Page 2 of 2

12 day of June, 2002

Mark Mark

FAMILY REGISTER

Nagano Prefecture, Japan

LEGAL DOMICILE	16 banch - HA, Chuuo 2 chome, Matsumoto-shi, Nagano-ken	N A M E	MAEDA, Susumu	
This Family Register was compiled on December 25, 1981.				
<p>Born on April 9, 1950 in the City of Matsumoto. Father reported. Entered in the Family Register on the 15th of the same month.</p> <p>Marriage with Hiroko Murai on December 25, 1981 was reported. Removed from the Family Register of Tsuneo Maeda at 16 banchi - HA, Chuuo 2 chome, Matsumoto-shi, and entered in this Family Register.</p> <p>Deceased about 11:00 p.m., March 26, 1998 in Bunkyo Ward, Tokyo. Hiroko Maeda, a member of the family, reported on the 29th of the same month. The headman of Bunkyo Ward forwarded.</p> <p>Removed from the Family Register on April 6, 1998.</p>		FATHER	Tsuneo Maeda	2nd son
		MOTHER	Hiroyo	
		HUSBAND	Susumu	
		BIRTH DATE	April 9, 1950	
		<p>Born on December 17, 1955 in Shinagawa Ward, Tokyo. Father reported on the 26th of the same month. The headman of Shinagawa Ward forwarded. Entered in the Family Register on January 9, 1956.</p> <p>Marriage with Susumu Maeda on December 25, 1981 was reported. Removed from the Family Register of Sohei Murai at 46 banchi - 4, Kaminohashi-cho, Morioka-shi, Iwate-ken, and entered in this Family Register.</p> <p>Husband died on March 26, 1998.</p>		FATHER
MOTHER	Shigeko			
WIFE	Hiroko			
BIRTH DATE	December 17, 1955			

I hereby certify that this copy is identical with the original Family Register.

April 16, 1998

Tadashi Ariga (official seal)

Mayor of the City of Matsumoto
Nagano Prefecture

I hereby certify that attached document is a true and accurate translation from Japanese to English of the Family Register of Susumu Maeda issued on April 16, 1998 in the City of Matsumoto, Nagano Prefecture, Japan.

November 8, 1999

Date

Teiichi Hirano
Teiichi Hirano
Certified Court Interpreter
I.D. No. 300162

Hirano's Translating Service
2301 L St., Ste. A,
Sacramento, CA 95816

本籍

長野県松本市中央二丁目拾六番地は

氏名

前田進

昭和五拾六年拾貳月貳拾五日編製

昭和貳拾五年四月九日松本市で出生同月拾五日父届出入籍

昭和五拾六年拾貳月貳拾五日村井浩子と婚姻届出松本市中央二丁目

拾六番地は前田恒雄戸籍から入籍

平成拾年参月貳拾六日午後拾壹時頃東京都文京区で死亡同月貳拾九

日親族前田浩子届出同年四月六日同区長から送付除籍

父

前田恒雄

母

裕代

貳男

夫

進

生出

昭和貳拾五年四月九日

昭和参拾年拾貳月拾七日東京都品川区で出生同月貳拾六日父届出昭

和参拾年参月九日品川区長から送付入籍

昭和五拾六年拾貳月貳拾五日前田進と婚姻届出岩手県盛岡市上ノ橋

町四拾六番地の四村井莊平戸籍から入籍

平成拾年参月貳拾六日夫死亡

父

村井莊平

母

茂子

長女

妻

浩子

生出

昭和参拾年拾貳月拾七日

父

母

この謄本は、戸籍の原本と相違ない
ことを認める。

PATENT