

6/10/05

Docket No.: STAN-100

FORM PTO-1595 (Modified)  
(Rev. 03-01)  
OMB No. 0651-0027 (exp. 5/31/2002)  
P08/REV03

06-15-2005

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office



Tab settings → → → ▼ ▼

To the Director of the United States Patent and Trademark Office

103021695

Enclose the attached original documents or copy thereof.

1. Name of conveying party(ies):

Louie Fielding, Ian Bennett, Colin Cahill, Pat Arensdorf,  
Ralph Crisostomo and Todd Alamin

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

THE BOARD OF TRUSTEES OF THE LELAND  
Name: STANFORD JUNIOR UNIVERSITY

Internal Address: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: Palo Alto

State: CA

ZIP: \_\_\_\_\_

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

05/16/2005, 06/01/2005, 06/01/2005

Execution Date: 06/02/2005, 05/16/2005, 06/01/2005

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

4. Application number(s) or patent numbers(s):

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

A. Patent Application No.(s)

11/076,469

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: STALLMAN & POLLOCK LLP

Internal Address: Attn.: Kathleen A. Frost

Street Address: 353 Sacramento Street, Suite 2200

06/14/2005 ECOOPER 00000029 11076469

01 FC:8021

City: San Francisco

40.00 OP

State: CA ZIP: 94111

6. Total number of applications and patents involved:

1

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

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

50-1703

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

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.

Kathleen A. Frost (Reg. No. 37, 326)

Name of Person Signing

Signature

June 8, 2005

Date

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

17

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

Mail Stop Assignment Recordation Services

Director of the United States Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450

PATENT  
REEL: 016680 FRAME: 0433

ASSIGNMENT

WHEREAS, WE, Louie Fielding, Ian Bennett, Colin Cahill, Pat Arensdorf, Ralph Crisostomo and Todd Alamin, hereinafter referred to as "ASSIGNORS", have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: SPINAL IMPLANT AND METHOD FOR RESTRICTING SPINAL FLEXION

Filing Date: March 9, 2005

Application No.: 11/076,469

WHEREAS, THE BOARD OF TRUSTEES OF THE LELAND STANFORD JUNIOR UNIVERSITY, of Palo Alto, California, hereinafter referred to as "ASSIGNEE", is desirous of acquiring the entire right, title and interest in the said invention and application and in any Letters Patent which may be granted on the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for One Dollar (\$1.00) and other good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have sold, assigned and transferred, and by these presents do sell, assign and transfer unto the said Assignee, and Assignee's successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, prolongations or extensions thereof, said interest to be held and enjoyed by said Assignee as fully and exclusively as it would have been held and enjoyed by said Assignors had this assignment and transfer not been made, to the full end and term of any such Letters Patent.

Assignors further agree that they will, without charge to said Assignee, but at Assignee's expense, cooperate with Assignee in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as Assignee lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Stallman & Pollock LLP, 353 Sacramento Street, Suite 2200, San Francisco, California 94111, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: May 16, 2005

Louie Fielding  
Louie Fielding

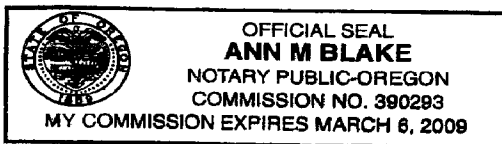
State of Oregon  
County of Washington

On May 16, 2005 before me, Ann M. Blake, personally appeared Louie Fielding 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 my hand and official seal.

Ann M. Blake  
Signature of Notary

SEAL



IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_  
Ian Bennett

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_  
personally appeared \_\_\_\_\_ 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 my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_  
Colin Cahill

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_  
personally appeared \_\_\_\_\_ 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 my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_  
Pat Arensdorf

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_ 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 my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_  
Ralph Crisostomo

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_ 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 my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_  
Todd Alamin

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_,  
personally appeared \_\_\_\_\_ 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 my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

ASSIGNMENT

WHEREAS, WE, Louie Fielding, Ian Bennett, Colin Cahill, Pat Arensdorf, Ralph Crisostomo and Todd Alamin, hereinafter referred to as "ASSIGNORS", have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: SPINAL IMPLANT AND METHOD FOR RESTRICTING SPINAL FLEXION

Filing Date: March 9, 2005

Application No.: 11/076,469

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NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for One Dollar (\$1.00) and other good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have sold, assigned and transferred, and by these presents do sell, assign and transfer unto the said Assignee, and Assignee's successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, prolongations or extensions thereof, said interest to be held and enjoyed by said Assignee as fully and exclusively as it would have been held and enjoyed by said Assignors had this assignment and transfer not been made, to the full end and term of any such Letters Patent.

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Assignors hereby authorize and request Stallman & Pollock LLP, 353 Sacramento Street, Suite 2200, San Francisco, California 94111, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_

\_\_\_\_\_  
Louie Fielding

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_,  
personally appeared \_\_\_\_\_ 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 my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: 6/1/05

[Signature]  
Ian Bennett

State of California

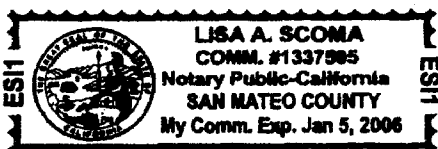
County of Santa Clara

On June 1, 2005 before me, Lisa A. Scoma,  
personally appeared Ian Bennett 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 my hand and official seal.

[Signature]  
Signature of Notary

SEAL



IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: 6/1/05

[Signature]  
Colin Cahill

State of California

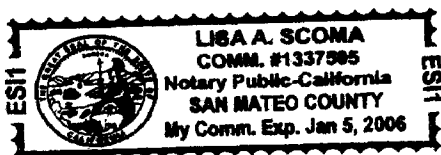
County of Santa Clara

On June 1, 2005 before me, Lisa A. Scoma,  
personally appeared Colin Cahill 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 my hand and official seal.

[Signature]  
Signature of Notary

SEAL



IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_  
Pat Arensdorf

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_,  
personally appeared \_\_\_\_\_ 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  
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WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_  
Ralph Crisostomo

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_,  
personally appeared \_\_\_\_\_ personally known to me or proved to me on the  
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WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL



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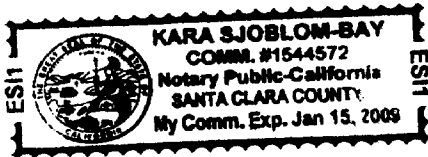
Date: 6/1/05

[Signature]  
Todd Alamin

State of California

County of Santa Clara

On June 1, 2005 before me, Kara Sjoblom-Bay,  
personally appeared Todd Alamin 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  
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WITNESS my hand and official seal.

[Signature]  
Signature of Notary

SEAL

ASSIGNMENT

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Filing Date: March 9, 2005

Application No.: 11/076,469

WHEREAS, THE BOARD OF TRUSTEES OF THE LELAND STANFORD JUNIOR UNIVERSITY, of Palo Alto, California, hereinafter referred to as "ASSIGNEE", is desirous of acquiring the entire right, title and interest in the said invention and application and in any Letters Patent which may be granted on the same;

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IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_

\_\_\_\_\_  
Louie Fielding

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_,  
personally appeared \_\_\_\_\_ 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 my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_  
Ian Bennett

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_,  
personally appeared \_\_\_\_\_ 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  
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instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_  
Colin Cahill

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_,  
personally appeared \_\_\_\_\_ 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  
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WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

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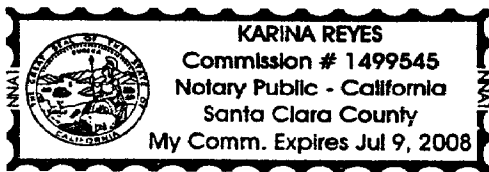
Date: 6/2/2005

Pat Arensdorf  
Pat Arensdorf

State of CALIFORNIA

County of SANTA CLARA

On JUNE 2nd, 2005 before me, KARINA REYES, Notary Public,  
personally appeared PATRICK ALFRED ARENSDORF 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.



SEAL

WITNESS my hand and official seal.

[Signature]  
Signature of Notary

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_

Ralph Crisostomo

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_,  
personally appeared \_\_\_\_\_ personally known to me or proved to me on the  
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WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

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Date: \_\_\_\_\_  
Todd Alamin

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_  
personally appeared \_\_\_\_\_ personally known to me or proved to me on the  
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WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

ASSIGNMENT

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Date: \_\_\_\_\_

\_\_\_\_\_  
Louie Fielding

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_,  
personally appeared \_\_\_\_\_ 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 my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

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Date: \_\_\_\_\_  
\_\_\_\_\_ Ian Bennett

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_,  
personally appeared \_\_\_\_\_ 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  
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instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_  
\_\_\_\_\_ Colin Cahill

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_,  
personally appeared \_\_\_\_\_ 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 my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_  
 \_\_\_\_\_  
 Pat Arensdorf

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_,  
 personally appeared \_\_\_\_\_ 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 my hand and official seal.

\_\_\_\_\_  
 Signature of Notary

SEAL

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: 5/16/05 \_\_\_\_\_  
 \_\_\_\_\_  
 Ralph Crisostomo

State of Minnesota

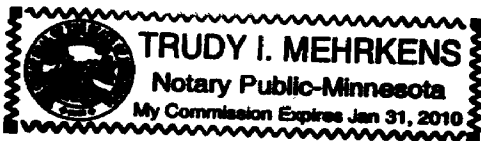
County of Wabasha

On May 16, 2005 before me, Trudy I. Mehrkens,  
 personally appeared Ralph Crisostomo 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 my hand and official seal.

Trudy I. Mehrkens  
 Signature of Notary

SEAL





IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: \_\_\_\_\_  
Todd Alamin

State of \_\_\_\_\_

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_,  
personally appeared \_\_\_\_\_ 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 my hand and official seal.

\_\_\_\_\_  
Signature of Notary

SEAL