# Electronic Version v1.1 Stylesheet Version v1.1

| SUBMISSION TYPE:      | NEW ASSIGNMENT |
|-----------------------|----------------|
| NATURE OF CONVEYANCE: | ASSIGNMENT     |

### **CONVEYING PARTY DATA**

| Name                   | Execution Date |
|------------------------|----------------|
| Richard C. Duke        | 08/16/2007     |
| Alex Franzusoff        | 08/07/2007     |
| Aurelia Haller         | 08/02/2007     |
| Thomas H. King         | 08/15/2007     |
| Yingnian Lu            | 08/16/2007     |
| Victoria Kelley Hodson | 08/07/2007     |

#### **RECEIVING PARTY DATA**

| Name:           | Globelmmune, Inc.   |
|-----------------|---------------------|
| Street Address: | 1450 Infinite Drive |
| City:           | Louisville          |
| State/Country:  | COLORADO            |
| Postal Code:    | 80027               |

#### PROPERTY NUMBERS Total: 1

| Property Type       | Number   |
|---------------------|----------|
| Application Number: | 11670902 |

### **CORRESPONDENCE DATA**

Fax Number: (303)863-0223

Correspondence will be sent via US Mail when the fax attempt is unsuccessful.

Phone: 303-863-9700

Email: cmendoza@sheridanross.com

Correspondent Name: Sheridan Ross P.C.

Address Line 1: 1560 Broadway

Address Line 2: Suite 1200

Address Line 4: Denver, COLORADO 80202

ATTORNEY DOCKET NUMBER: 3923-18

PATENT REEL: 019823 FRAME: 0694

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| NAME OF SUBMITTER:   | Angela Dallas Sebor |
|--|---------------------|
| Total Attachments: 6 source=Executed_Assignment#page1.tif source=Executed_Assignment#page2.tif source=Executed_Assignment#page3.tif source=Executed_Assignment#page4.tif source=Executed_Assignment#page5.tif source=Executed_Assignment#page6.tif |                     |

PATENT REEL: 019823 FRAME: 0695

#### ASSIGNMENT

WHEREAS, we, Richard C. Duke of 934 South Josephine Street, Denver, Colorado 80222, Alex Franzusoff of 860 Ogden Street, Denver, Colorado 80218, Aurelia Haller of 7661 Concord Drive, Boulder, Colorado 80301, Thomas H. King of 4105 Perry Street, Denver, Colorado 80212, Yingnian Lu of 2829 Akron Court, Denver, Colorado 80238 and Victoria Kelley Hodson of 2715 Blake Street, Unit 6, Denver, Colorado 80205, have invented a certain new and useful invention entitled YEAST-BASED VACCINE FOR INDUCING AN IMMUNE RESPONSE, for which an application for Letters Patent of the United States has been prepared and filed on February 2, 2007, receiving Serial No. 11/670,902, and further identified as Attorney File No. 3923-18;

NOW THEREFORE, be it known that we, the said inventors, for and in consideration of certain good and valuable consideration, the sufficiency and receipt of which is hereby acknowledged, at the request of the assignee do sell, assign and transfer unto said assignee, Globelmmune, Inc., a Colorado corporation having a place of business at 1450 Infinite Drive, Louisville, Colorado 80027, its successors, legal representatives and assigns, the aforesaid application for the territory of the United States of America and all continuation, divisional, continuation-in-part and reissue applications, all patent applications in foreign countries, all applications pursuant to the Patent Cooperation Treaty, and all applications for extension filed or to be filed for the invention, and all Letters Patent, Invention Registrations, Utility Models, Extensions or Reissues and other patent rights, obtained for the invention in the United States or any other country; we also assign any right, title or interest in and to the invention which has not already been transferred to the assignee; we warrant that we have made no assignment of the invention, application or patent therefor to a party other than Globelmmune, Inc. and we are under no obligation to make any assignment of the invention, application, or patent therefor to any other party; and we further agree to cooperate with the assignee hereunder in the obtaining and sustaining of any and all such Letters Patent and in confirming assignee's exclusive ownership of the invention, but at the expense of said assignee.

The Commissioner of Patents is hereby authorized and requested to issue the Letters Patent solely in accordance with the terms of this Assignment, to Globelmmune, Inc., its successors, legal representatives and assigns, as the assignee of the entire right, title and interest therein.

IN WITNESS WHEREOF, the parties hereto have executed this Assignment as of the date indicated hereunder.

Date: 16 Aug 7007

By: 18 Delay 100 Dela

| Date: 16 Aug 2007           | By:/                             |
|-----------------------------|----------------------------------|
| ·                           | Richard C. Duke                  |
| Date: 7 Aug 2007            | By: Alexander                    |
| )                           | By: Amelia Hake                  |
| Date: <u>08 - 02 - 2007</u> | Aurelia Haller                   |
| Date: 08-15- 2007           | By: Moman 4. Ming Thomas H. King |
| Date: 08-16-2007            | By: MNDB                         |
|                             | Yingnian Lu                      |
| Date:                       | By:                              |

STATE OF COLORADO ) SI

#### ASSIGNMENT

WHEREAS, we, Richard C. Duke of 934 South Josephine Street, Denver, Colorado 80222,
Alex Franzusoff of 860 Ogden Street, Denver, Colorado 80218, Aurelia Haller of 7661 Concord
Drive, Boulder, Colorado 80301, Thomas H. King of 4105 Perry Street, Denver, Colorado 80212, 1774
Yingnian Lu of 2829 Akron Court, Denver, Colorado 80238 and Victoria Kelley Hodson of 2715
Blake Street, Unit 6, Denver, Colorado 80205, have invented a certain new and useful invention
entitled YEAST-BASED VACCINE FOR INDUCING AN IMMUNE RESPONSE, for which
an application for Letters Patent of the United States has been prepared and filed on February 2,
2007, receiving Serial No. 11/670,902, and further identified as Attorney File No. 3923-18;

Hushia, Texas 14303 NOW THEREFORE, be it known that we, the said inventors, for and in consideration of certain good and valuable consideration, the sufficiency and receipt of which is hereby acknowledged, at the request of the assignee do sell, assign and transfer unto said assignee, Globelmmune, Inc., a Colorado corporation having a place of business at 1450 Infinite Drive, Louisville, Colorado 80027, its successors, legal representatives and assigns, the aforesaid application for the territory of the United States of America and all continuation, divisional, continuation-in-part and reissue applications, all patent applications in foreign countries, all applications pursuant to the Patent Cooperation Treaty, and all applications for extension filed or to be filed for the invention, and all Letters Patent, Invention Registrations, Utility Models, Extensions or Reissues and other patent rights, obtained for the invention in the United States or any other country; we also assign any right, title or interest in and to the invention which has not already been transferred to the assignee; we warrant that we have made no assignment of the invention application or patent therefor to a party other than Globelmmune, Inc. and we are under no obligation to make any assignment of the invention, application, or patent therefor to any other party; and we further agree to cooperate with the assignee hereunder in the obtaining and sustaining of any and all such Letters Patent and in confirming assignee's exclusive ownership of the invention, but at the expense of said assignee.

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IN WITNESS WHEREOF, the parties hereto have executed this Assignment as of the date indicated hereunder.

| Date:            | By: Richard C. Duke        |
|------------------|----------------------------|
| Date:            | By: Alex Franzusoff        |
| Date:            | By: Aurelia Haller         |
| Date:            | By: Thomas H. King         |
| Date:            | By: Yingnian Lu            |
| Date: 08/07/2007 | By: Victoria Kelley Hodson |

STATE OF

) ) ss.

## COUNTY OF BOULDER )

Before me, a Notary Public in and for said County and State, personally appeared Richard C. Duke, known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same for the purposes and considerations therein expressed.

STATE OF COLORADO ) ss. COUNTY OF BOULDER )

Before me, a Notary Public in and for said County and State, personally appeared Alex Franzusoff, known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same for the purposes and considerations therein expressed.

Given under my hand and seal of office this 7th day of August, 2007.

Notary Public

My Commission Expires:

ANNETTE C. HERRERA

NOTARY PUBLIC

NOTARY PUBLIC STATE OF COLORADO

My Commission Expires 01/23/10

| STATE OF (                            | COLORADO                                   | )                                 |  |                 |
|---------------------------------------|--|-----------------------------------|--|-----------------|
| COUNTY OF                             | BOULDER                                    | ) ss.<br>)                        |  |                 |
| Haller, known acknowledged expressed. | to me to be the pers<br>to me that she exe | son whose name<br>ecuted the same | County and State, personally app<br>is subscribed to the foregoing in<br>for the purposes and consider | istrument, and  |
| Given u                               | ınder my hand and s                        | eal of office this                | 2nd day of August  | <u>, 2007</u> . |
|                                       |  |                                   | Notary Public  | erria           |
|                                       | My Com                                     | mission Expires:                  | ANNETTE C. HERRERA NOTARY PUBLIC STATE OF COLORADO   | · .             |
|                                       | COLORADO<br>BOULDER                        | )<br>) ss.<br>)                   | My Commission Expires 01/23/10   |                 |
| H. King, know acknowledged expressed. | n to me to be the per<br>to me that he exe | rson whose name<br>cuted the same | County and State, personally apport is subscribed to the foregoing in for the purposes and consider    | nstrument, and  |
| Given u                               | ınder my hand and s                        | eal of office this                | 15th day of August   | , 2007          |
|                                       | My Com                                     | mission Expires:                  | Notary Public  ANNETTE C. HERRERA  NOTARY PUBLIC  STATE OF COLORADO  My Commission Expires 01/23/10    |                 |

| STATE OF COLORADO                   |   |    |
|-------------------------------------|---|----|
| STATE OF COLORADO COUNTY OF BOULDER | ) \$s.<br>)   |    |
| Lu, known to me to be the person    | and for said County and State, personally appeared Yingni whose name is subscribed to the foregoing instrument, a uted the same for the purposes and considerations there | nc |
| Given under my hand and se          | al of office this 16th day of August, 200   | Z  |
|                                     | Notary Public   |    |
|                                     | Notary Public   |    |
| My Comm                             | ission Expires: ANNETTE C. HERRERA  |    |
|                                     | NOTARY PUBLIC   |    |
|                                     | STATE OF COLORADO   |    |
|                                     | My Commission Expires 01/23/10  |    |

| STATE  | )F   | )   |  |   |  |
|--|--|---|--|---|--|
| COUNT  | Y OF   | ) ss.<br>)  |  |   |  |
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|  | Total united they must   | ·   | duy or                                       |   |  |
|  |  |   | Notary Pub                                   | lic   |  |
|  | My   | Commission Expires:   |  |   |  |
|  |  |   |  |   |  |
| STATE  | )F   | ·   |  |   |  |
| COUNT  | YOF  | ) ss.<br>)  |  |   |  |
| Before me, a Notary Public in and for said County and State, personally appeared Victoria Kelley Hodson, known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that she executed the same for the purposes and considerations therein expressed. |  |   |  |   |  |
| G  | iven under my hand   | d and seal of office this $\underline{\mathscr{O}}$   | مر برا day of <u> المري</u>                  | J dou).   |  |
|  |  |   | Notary Pub                                   | olic  |  |
|  | My   | Commission Expires: 🙍   | 3-07-2011                                    |   |  |
| •  |  |   |  | JERRY DEAN BLACKWELL III NOTARY PUBLIC State of Texas Comm. Exp. 03-07-2011 |  |
|  |  |   | ••   | **************************************                                      |  |

RECORDED: 09/13/2007