

PATENT

Attorney Docket No.: **NWESTERN-10987**

Form PTO-1595

RECORDATION FORM COVER SHEET

U.S. Department of Commerce
Patent and Trademark Office**PATENTS ONLY**

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name(s) of conveying party(ies):

Laurence Howard Stephen Miller
Brian Shoichet John IrwinAdditional name(s) of conveying party(ies) attached? **No**

2. Name and address of receiving party:

Northwestern University
633 Clark Street
Evanston, Illinois 60208Additional name(s) & address(es) attached? **No**3. Nature of conveyance: **ASSIGNMENT**

Execution Date: 9/16/06, 8/31/06, 9/05/06, 8/31/06

4. Title of Invention: **Compositions and Methods for Altering Immune Function**

Application number(s) or patent number(s):

A. Patent Application No.(s):

11/444,591

B. Patent No.(s):

Additional numbers attached? **No**

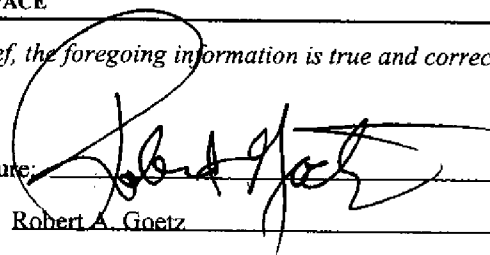
5. Name and address of party to whom correspondence concerning document should be mailed:

David A. Casimir
MEDLEN & CARROLL, LLP
101 Howard Street, Suite 350
San Francisco, California 941056. Total number of applications and patents involved: **1**

7. Total fee(s):

Check in the amount of **\$165.00** enclosed (**\$65.00** surcharge for filing missing parts of an application, **\$40.00** Assignment recordation fee and **\$60.00** fee for Extension of Time).

8. Deposit Account Authorization:

The Commissioner is hereby authorized to charge any deficiency in the payment of the required fees, and/or credit any overpayment, to Deposit Account No. **08-1290**. An originally executed duplicate of this transmittal is enclosed for this purpose.**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.*Date: **September 22, 2006**Signature: Name: **Robert A. Goetz**Reg. No.: **55,210**Total number of pages including cover sheet, attachments, and document **PATENT**

CH \$40.00 081290 11444591

700361655

REEL: 020557 FRAME: 0871

PATENT

Attorney Docket No : NWestern-10987

ASSIGNMENT

WHEREAS, WE, Laurence Howard, Stephen Miller, Brian Shoichet, John Irwin, hereinafter referred to as "ASSIGNOR," 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: **Compositions and Methods for Altering Immune Function**

Filing Date: **05/01/2006** Serial No : **11/444,591**

WHEREAS, Northwestern University, an Illinois corporation having a place of business at 633 Clark Street, Evanston, Illinois 60208, hereinafter referred to as "ASSIGNEE," is desirous of acquiring the entire right, title and interest in 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 and in consideration of the sum of One Dollar (\$1.00) lawful money paid to ASSIGNOR by ASSIGNEE, and other good and valuable consideration, receipt of which is hereby acknowledged, ASSIGNOR has sold, assigned and transferred, and by these presents does sell, assign and transfer unto said ASSIGNEE, and ASSIGNEE's successors and assigns, all right, title and interest in and to 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, or 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 ASSIGNOR had this assignment and transfer not been made, to the full extent and term of any Letters Patent

ASSIGNOR further agrees that ASSIGNOR 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 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.

IN TESTIMONY WHEREOF, ASSIGNOR has hereunto signed ASSIGNOR's name to this Assignment on the date indicated below

Laurence Howard 14/9/06
Laurence Howard Date

Stephen Miller _____
Stephen Miller Date

Brian Shoichet _____
Brian Shoichet Date

John Irwin _____
John Irwin Date

STATE OF Illinois)
COUNTY OF COOK) ss

On this 18th day of September, in the year of 2006, before me, the undersigned Notary Public or Witness, personally appeared the above-named ASSIGNOR, known to me (or proven to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged that he/she executed the same

SEAL



Angela Shuey
NOTARY PUBLIC or WITNESS

PATENT

REEL: 020557 FRAME: 0872

PATENTAttorney Docket No.: **NWESTERN-10987****ASSIGNMENT**

WHEREAS, WE, Laurence Howard, Stephen Miller, Brian Shoichet, John Irwin, hereinafter referred to as "ASSIGNOR," 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: **Compositions and Methods for Altering Immune Function**

Filing Date: **06/01/2006** Serial No: **11/444,591**

WHEREAS, Northwestern University, an Illinois corporation having a place of business at 633 Clark Street, Evanston, Illinois 60208, hereinafter referred to as "ASSIGNEE," is desirous of acquiring the entire right, title and interest in 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 and in consideration of the sum of One Dollar (\$1.00) lawful money paid to ASSIGNOR by ASSIGNEE, and other good and valuable consideration, receipt of which is hereby acknowledged, ASSIGNOR has sold, assigned and transferred, and by these presents does sell, assign and transfer unto said ASSIGNEE, and ASSIGNEE's successors and assigns, all right, title and interest in and to 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, or 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 ASSIGNOR had this assignment and transfer not been made, to the full extent and term of any Letters Patent.

ASSIGNOR further agrees that ASSIGNOR 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 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.

IN TESTIMONY WHEREOF, ASSIGNOR has hereunto signed ASSIGNOR's name to this Assignment on the date indicated below

Laurence Howard

Date

Stephen Miller

Date

Brian Shoichet

Date

John Irwin

Date

STATE OF Illinois
COUNTY OF Cook

SS

On this 5th day of September, in the year of 2006, before me, the undersigned Notary Public or Witness, personally appeared the above-named ASSIGNOR, known to me (or proven to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged that he/she executed the same.

Angela Shuey
NOTARY PUBLIC or WITNESS

SEAL

**PATENT****REEL: 020557 FRAME: 0873**

PATENTAttorney Docket No : **NWESTERN-10987****ASSIGNMENT**

WHEREAS, WE, Laurence Howard, Stephen Miller, Brian Shoichet, John Irwin, hereinafter referred to as "ASSIGNOR," 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: **Compositions and Methods for Altering Immune Function**
 Filing Date: **06/01/2006** Serial No: **11/444,591**

WHEREAS, Northwestern University, an Illinois corporation having a place of business at 633 Clark Street, Evanston, Illinois 60208, hereinafter referred to as "ASSIGNEE," is desirous of acquiring the entire right, title and interest in 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 and in consideration of the sum of One Dollar (\$1.00) lawful money paid to ASSIGNOR by ASSIGNEE, and other good and valuable consideration, receipt of which is hereby acknowledged, ASSIGNOR has sold, assigned and transferred, and by these presents does sell, assign and transfer unto said ASSIGNEE, and ASSIGNEE's successors and assigns, all right, title and interest in and to 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, or 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 ASSIGNOR had this assignment and transfer not been made, to the full extent and term of any Letters Patent.

ASSIGNOR further agrees that ASSIGNOR 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 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

IN TESTIMONY WHEREOF, ASSIGNOR has hereunto signed ASSIGNOR's name to this Assignment on the date indicated below.

Laurence Howard_____
Date

Stephen D. Miller 8/31/06
 Stephen Miller Date

Brian Shoichet_____
Date

John Irwin Date

STATE OF

Illinois

COUNTY OF

Cook)))
SS

On this 31st day of August, in the year of 2006, before me, the undersigned Notary Public or Witness, personally appeared the above-named ASSIGNOR, known to me (or proven to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged that he/she executed the same

Angela Shuey
 NOTARY PUBLIC or WITNESS

SEAL

**PATENT****REEL: 020557 FRAME: 0874**

PATENT
Attorney Docket No.: **NWESTERN-10987**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	Laurence M. Howard, et al	Group No.:
Serial No.:	11/444,591	Examiner:
Filed:	06/01/2006	
Entitled:	Compositions and Methods for Altering Immune Function	

POWER OF ATTORNEY BY ASSIGNEE

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Northwestern University, as Assignee of record of the entire interest of the above-identified patent application, hereby appoints the firm of MEDLEN & CARROLL, LLP, a firm composed of:

Tanya A. Arenson	(Reg. No. 47,391)	David A. Casimir	(Reg. No. 42,395)
Jason R. Bond	(Reg. No. 45,439)	Robert A. Goetz	(Reg. No. 55,210)
Mary Ann D. Brow	(Reg. No. 42,363)	Thomas C. Howerton	(Reg. No. 48,650)
Thomas W. Brown	(Reg. No. 50,002)	J. Mitchell Jones	(Reg. No. 44,174)
Peter G. Carroll	(Reg. No. 32,837)	Christine A. Lekutis	(Reg. No. 51,934)

as its attorneys with full power of substitution to prosecute this application and transact all business in the Patent and Trademark Office in connection therewith.

Please direct all future correspondence and telephone calls regarding this application to:

David A. Casimir
MEDLEN & CARROLL, LLP
101 Howard Street, Suite 350
San Francisco, California 94105

Telephone: (608) 218-6900
Facsimile: (608) 218-6910

I hereby certify that the Assignment document filed with the application, or filed subsequent to the filing date of the application, has been reviewed and I hereby certify that, to the best of my knowledge and belief, title is with Northwestern University.

Dated: 9/19/06

By: _____

Indrani Mukharji

Indrani Mukharji, Ph.D.
Executive Director, Technology Transfer Program
Northwestern University
633 Clark Street
Evanston, Illinois 60208

PATENT
Attorney Docket No.: NWestern-10987

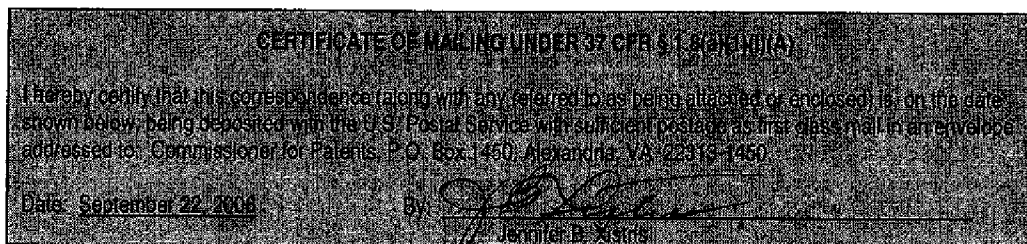
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Laurence M. Howard, et al
Serial No.: 11/444,591
Filed: 06/01/2006
Entitled: **Compositions and Methods for Altering Immune Function**

Group No.:
Examiner:

REQUEST FOR EXTENSION OF TIME

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

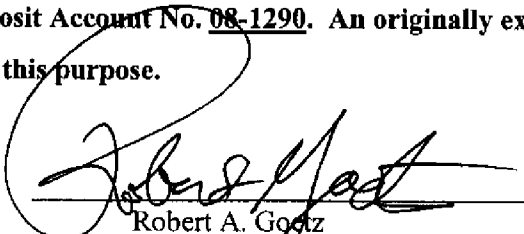


Sir or Madam:

Applicant(s) hereby petition(s) for a one-month extension of time to answer the outstanding Notice To File Missing Parts mailed **06/22/2006**, regarding the above-identified patent application. Please find a check enclosed in the amount of **\$165.00** (\$65.00 surcharge for filing missing parts of an application, \$40.00 Assignment recordation fee, and \$60.00 to cover the extension fee for filing a Response within the first month).

The Commissioner is hereby authorized to charge any deficiency in the payment of the required fee(s), and/or credit any overpayment, to **Deposit Account No. 08-1290**. An originally executed duplicate of this transmittal is enclosed for this purpose.

Date: September 22, 2006

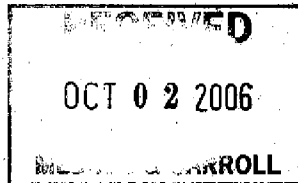

Robert A. Gogtz
Registration No. 55,210

MEDLEN & CARROLL, LLP
101 Howard Street, Suite 350
San Francisco, California 94105
608/218-6900

PATENT
REEL: 020557 FRAME: 0876

Serial No.: 11/444,591 MC File No.: NWERN-10987 By: RAG
 In The Matter of the Application Of: Lawrence M. Howard, et al JBK
 Date Mailed: 9.22.06 Due Date: 8.22.06
 The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

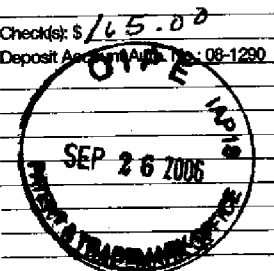
- | | | |
|--|--|--|
| <input type="checkbox"/> Design Patent Application _____ Pages | <input type="checkbox"/> Trademark Application | <input type="checkbox"/> PCT Application _____ Pages |
| <input type="checkbox"/> Plant Patent Application _____ Pages | <input type="checkbox"/> ITU Trademark Application | <input type="checkbox"/> Parent Appln.: _____ |
| <input type="checkbox"/> Prov. Patent Application _____ Pages | <input type="checkbox"/> Statement of Use | <input type="checkbox"/> Chapter II Demand |
| <input type="checkbox"/> Utility Patent Application _____ Pages | <input type="checkbox"/> Trademark Renewal Application | <input type="checkbox"/> Authorization of Agent |
| <input type="checkbox"/> DIV <input type="checkbox"/> CONT | <input type="checkbox"/> Section 8 & 15 Affidavits | <input checked="" type="checkbox"/> Transmittal Letter <input checked="" type="checkbox"/> Duplicate |
| <input type="checkbox"/> CIP <input type="checkbox"/> CPA | <input type="checkbox"/> Specimens _____ | <input checked="" type="checkbox"/> Certificate of Mailing |
| <input type="checkbox"/> U.S. Nat'l Entry <input type="checkbox"/> RCE | <input checked="" type="checkbox"/> Declaration/Oath/Affidavits | <input type="checkbox"/> Cert. of Express Mailing Label No.: _____ |
| <input type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Drawings: _____ Sheet(s) | <input checked="" type="checkbox"/> Check(s): \$ <u>165.00</u> |
| <input type="checkbox"/> Form PTO-1449 w/ _____ Refs. | <input type="checkbox"/> Formal <input type="checkbox"/> Informal | <input checked="" type="checkbox"/> Deposit Account Auth. No.: <u>08-1290</u> |
| <input checked="" type="checkbox"/> Form PTO-1533 (Not. of Missing Parts) | <input checked="" type="checkbox"/> Power of Attorney by <u>Assignee</u> | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Certificate Re: Sequence Listing | <input checked="" type="checkbox"/> Form PTO-1594/1595 | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Sequence Listing (Paper Copy and CDF) | <input checked="" type="checkbox"/> Assignment | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Req. Under 37 CFR 1.821(e) to Use CDF from Prior Appln. | <input type="checkbox"/> Small Entity Declaration | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Form PTOL-858 (Issue Fee Transmittal) | <input type="checkbox"/> Amendment/Response | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Advance Order: _____ Copies | <input checked="" type="checkbox"/> Extension of Time Req.: _____ Month(s) | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Form PTO-1050 (Cert. of Correction) | <input type="checkbox"/> Notice of Appeal | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Maintenance Fee Transmittal Form | <input type="checkbox"/> Appeal Brief | <input type="checkbox"/> _____ |
| | <input type="checkbox"/> Petition _____ | <input type="checkbox"/> _____ |



Serial No.: 11/444,591 MC File No.: NWERN-10987 By: RAG
 In The Matter of the Application Of: Laurence M. Howard, et al JBX
 Date Mailed: 9.22.06 Due Date: 8.22.06

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

- | | | |
|--|---|--|
| <input type="checkbox"/> Design Patent Application _____ Pages | <input type="checkbox"/> Trademark Application | <input type="checkbox"/> PCT Application _____ Pages |
| <input type="checkbox"/> Plant Patent Application _____ Pages | <input type="checkbox"/> ITU Trademark Application | <input type="checkbox"/> Parent Appln.: _____ |
| <input type="checkbox"/> Prov. Patent Application _____ Pages | <input type="checkbox"/> Statement of Use | <input type="checkbox"/> Chapter II Demand |
| <input type="checkbox"/> Utility Patent Application _____ Pages | <input type="checkbox"/> Trademark Renewal Application | <input type="checkbox"/> Authorization of Agent |
| <input type="checkbox"/> DIV <input type="checkbox"/> CONT | <input type="checkbox"/> Section 8 & 15 Affidavits | <input checked="" type="checkbox"/> Transmittal Letter <input checked="" type="checkbox"/> Duplicate |
| <input type="checkbox"/> CIP <input type="checkbox"/> CPA | <input type="checkbox"/> Specimens _____ | <input checked="" type="checkbox"/> Certificate of Mailing |
| <input type="checkbox"/> U.S. Nat'l. Entry <input type="checkbox"/> RCE | <input checked="" type="checkbox"/> Declaration/Oath/Affidavits | <input type="checkbox"/> Cert. of Express Mailing Label No.: _____ |
| <input type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Drawings: _____ Sheet(s) | <input checked="" type="checkbox"/> Check(s): \$ <u>165.00</u> |
| <input type="checkbox"/> Form PTO-1449 w/ _____ Refs. | <input type="checkbox"/> Formal <input type="checkbox"/> Informal | <input checked="" type="checkbox"/> Deposit Account No.: 08-1290 |
| <input checked="" type="checkbox"/> Form PTO-1533 (Not. of Missing Parts) | <input checked="" type="checkbox"/> Power of Attorney by <u>Assignee</u> | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Certificate Re: Sequence Listing | <input checked="" type="checkbox"/> Form PTO-1594/1595 | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Sequence Listing (Paper Copy and CRF) | <input checked="" type="checkbox"/> Assignment | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Req. Under 37 CFR 1.821(e) to Use CRF from Prior Appln. | <input type="checkbox"/> Small Entity Declaration | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Form PTOL-85B (Issue Fee Transmittal) | <input type="checkbox"/> Amendment/Response | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Advance Order: _____ Copies | <input checked="" type="checkbox"/> Extension of Time Req.: <u>1</u> Month(s) | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Form PTO-1050 (Cert. of Correction) | <input type="checkbox"/> Notice of Appeal | <input type="checkbox"/> _____ |
| <input type="checkbox"/> Maintenance Fee Transmittal Form | <input type="checkbox"/> Appeal Brief | <input type="checkbox"/> _____ |
| | <input type="checkbox"/> Petition _____ | <input type="checkbox"/> _____ |



PATENT

REEL: 020557 FRAME: 0878

PATENT

Attorney Docket No : NWestern-10987

DECLARATION FOR PATENT APPLICATION

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name. I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **Compositions and Methods for Altering Immune Function**, the specification of which was filed on **06/01/2006** as Application Serial No. **11/444,591**. I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information, which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim the benefit under Title 35, United States Code, § 120, of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a), that occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>60/686,224</u>	<u>06/01/2005</u>	<u>Pending</u>
<i>Application Serial No</i>	<i>Filing Date</i>	<i>Patented, Pending, or Abandoned</i>

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under § 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole or First Inventor: Laurence Howard

Inventor's Signature: *Laurence Howard*

Date: 11/9/06

Residence: 7634 North Bosworth Avenue, Unit #2, Chicago, IL 60626 *LSM*

Citizenship: Canada *IRELAND LSM*

Post Office Address: 7634 North Bosworth Avenue, Unit #2, Chicago, IL 60626 *LSM*

LSM Fuellenkellerweg 4-6/2, 2352 Gumpoldskirchen, AUSTRIA

Full Name of Second Joint Inventor: Stephen Miller

Inventor's Signature: _____

Date: _____

Residence: 946 South Gunderson Avenue, Oak Park, IL 60304

Citizenship: United States of America

Post Office Address: 946 South Gunderson Avenue, Oak Park, IL 60304

Full Name of Third Joint Inventor: Brian Shoichet

Inventor's Signature: _____

Date: _____

Residence: 2104 23d Street, San Francisco, CA 94104

Citizenship: Canada

Post Office Address: 2104 23d Street, San Francisco, CA 94104

Full Name of Fourth Joint Inventor: John Irwin

Inventor's Signature: _____

Date: _____

Residence: 600 16th Street, San Francisco, CA 94143

Citizenship: Canada

Post Office Address: 600 16th Street, San Francisco, CA 94143

PATENT

REEL: 020557 FRAME: 0879

PATENT

Attorney Docket No : NWestern-10987

DECLARATION FOR PATENT APPLICATION

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name. I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **Compositions and Methods for Altering Immune Function**, the specification of which was filed on **06/01/2006** as Application Serial No. **11/444,591**. I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

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<u>60/886,224</u>	<u>06/01/2005</u>	<u>Pending</u>
<i>Application Serial No.</i>	<i>Filing Date</i>	<i>Patented, Pending, or Abandoned</i>

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under § 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole or First Inventor: Laurence Howard

Inventor's Signature: _____	Date: _____
Residence: <u>7631 North Bosworth Avenue, Unit #2, Chicago, IL 60626</u>	Citizenship: <u>Canada</u>
Post Office Address: <u>7631 North Bosworth Avenue, Unit #2, Chicago, IL 60626</u>	

Full Name of Second Joint Inventor: Stephen Miller

Inventor's Signature: <u>Stephen D. Miller</u>	Date: <u>8/31/06</u>
Residence: <u>946 South Gunderson Avenue, Oak Park, IL 60304</u>	Citizenship: <u>United States of America</u>
Post Office Address: <u>946 South Gunderson Avenue, Oak Park, IL 60304</u>	

Full Name of Third Joint Inventor: Brian Shoichet

Inventor's Signature: _____	Date: _____
Residence: <u>2104 23d Street, San Francisco, CA 94104</u>	Citizenship: <u>Canada</u>
Post Office Address: <u>2104 23d Street, San Francisco, CA 94104</u>	

Full Name of Fourth Joint Inventor: John Irwin

Inventor's Signature: _____	Date: _____
Residence: <u>600 16th Street, San Francisco, CA 94143</u>	Citizenship: <u>Canada</u>
Post Office Address: <u>600 16th Street, San Francisco, CA 94143</u>	

PATENT

Attorney Docket No : NWESTERN-10987

DECLARATION FOR PATENT APPLICATION

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name. I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **Compositions and Methods for Altering Immune Function**, the specification of which was filed on 06/01/2006 as Application Serial No. 11/444,591. I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

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60/686,224

06/01/2005

Pending

Application Serial No.

Filing Date

Patented, Pending, or Abandoned

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under § 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole or First Inventor: Laurence Howard

Inventor's Signature: _____

Date: _____

Residence: 7631 North Bosworth Avenue, Unit #2, Chicago, IL 60626

Citizenship: Canada

Post Office Address: 7631 North Bosworth Avenue, Unit #2, Chicago, IL 60626

Full Name of Second Joint Inventor: Stephen Miller

Inventor's Signature: _____

Date: _____

Residence: 946 South Gunderson Avenue, Oak Park, IL 60304

Citizenship: United States of America

Post Office Address: 946 South Gunderson Avenue, Oak Park, IL 60304

Full Name of Third Joint Inventor: Brian Sheichet

Inventor's Signature: _____

Date: _____

Residence: 2104 23d Street, San Francisco, CA 94104

Citizenship: Canada

Post Office Address: 2104 23d Street, San Francisco, CA 94104

Full Name of Fourth Joint Inventor: John Irwin

Inventor's Signature: _____

Date: _____

Residence: 600 16th Street, San Francisco, CA 94143

Citizenship: Canada

Post Office Address: 600 16th Street, San Francisco, CA 94143

Residence: 24 Jewell St, San Rafael CA 94901
Post office Address: 24 Jewell St, San Rafael CA 94901

PATENT

REEL: 020557 FRAME: 0881



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
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www.uspto.gov

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
11/444,591	06/01/2006	Laurence M. Howard	NWESTERN-10987

MEDLEN & CARROLL, LLP
Suite 350
101 Howard Street
San Francisco, CA 94105

CONFIRMATION NO. 6427

FORMALITIES
LETTER

Date Mailed: 06/22/2006

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted***Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.

The applicant needs to satisfy supplemental fees problems indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.16(f) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$65** for a Small Entity

- **\$65** Surcharge.

Items Required To Avoid Processing Delays:

The item(s) indicated below are also required and should be submitted with any reply to this notice to avoid further processing delays.


- A new oath or declaration, identifying this application number is required. The oath or declaration does not comply with 37 CFR 1.63 in that it:
- does not identify the residence (e.g., city and either state or foreign country) of each inventor.

PATENT**REEL: 020557 FRAME: 0882**

- does not identify the complete mailing or post office address of each inventor.

Replies should be mailed to: Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*



Office of Initial Patent Examination (571) 272-4000, or 1-800-PTO-9199, or 1-800-972-6382
PART 2 - COPY TO BE RETURNED WITH RESPONSE

PAY TO THE ORDER OF
One Hundred Sixty Five Dollars And 00/100
Honorable Commissioner of Patents & Trademarks
Express Mail Label No.: n/a

DATE AMOUNT
September 22, 2006 \$165.00

TWO SIGNATURES REQUIRED FOR AMOUNTS OVER \$500.00

057688 121100782 042007799

MEDLEN & CARROLL, LLP 101 HOWARD STREET SAN FRANCISCO, CA 94105

57688

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57688

Client Code / Matter No.: NWestern-10987

September 22, 2006

\$165.00

Description: Missing Parts \$65.00
Assignment Fee \$40.00
Ext. of Time (1) Month \$60.00

PATENT

REEL: 020557 FRAME: 0884

PATENT
Attorney Docket No.: **NWESTERN-10987**

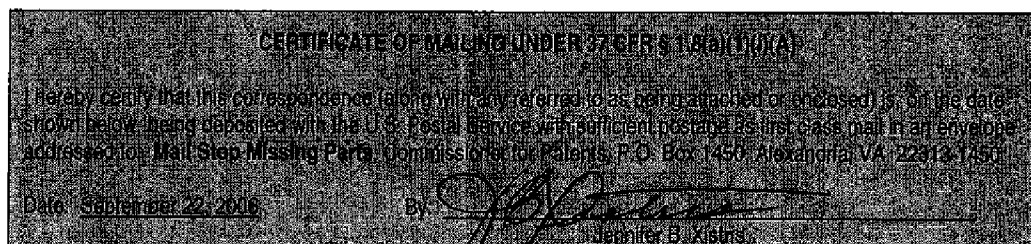
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: **Laurence M. Howard, et al** Group No.:
Serial No.: **11/444,591** Examiner:
Filed: **06/01/2006**
Entitled: **Compositions and Methods for Altering Immune Function**

RESPONSE TO NOTICE TO FILE MISSING PARTS

MAIL STOP MISSING PARTS

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450



Sir or Madam:

In response to the **Notice To File Missing Parts Of Nonprovisional Application – Filing Date Granted** (Form PTO-1533) mailed **06/22/2006** (a copy of which is enclosed), applicant(s) submit(s) the following documents:

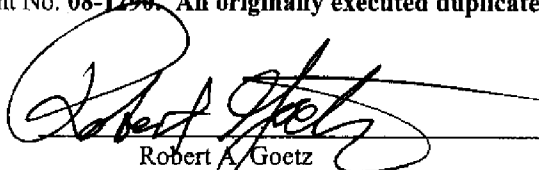
- Executed Declaration or Oath;
- An Assignment document for recording, whereby the subject application and the invention disclosed therein is assigned to: Northwestern University; and a Recordation Form Cover Sheet – Patents Only (Form PTO-1595);
- Power Of Attorney By Assignee;
- Request for Extension of Time for filing within the first month;

A check in the amount of **\$165.00** is enclosed herewith to cover:

\$65.00 Surcharge for filing missing parts of an application
\$40.00 Assignment Recordation Fee
\$60.00 Fee for filing a one-month extension of time

The Commissioner is hereby authorized to charge any deficiency in the payment of the required fee(s), and/or credit any overpayment, to Deposit Account No. **08-1290**. An originally executed duplicate of this transmittal is enclosed for this purpose.

Date: September 22, 2006


Robert A. Goetz
Registration No. 55,210

MEDLEN & CARROLL, LLP
101 Howard Street, Suite 350
San Francisco, California 94105
608/218-6900

PATENT
REEL: 020557 FRAME: 0885

CASIMIR JONES, S.C.**F
A
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R****TO: U.S. PATENT AND TRADEMARK OFFICE
ASSIGNMENT DIVISION – FACSIMILE TRANSMISSIONS****FACSIMILE NO.: (571) 273-0140****FROM: Susan M. Knight for Attorney David A. Casimir (Reg. No. 42,395)
Casimir Jones, S.C.
Tel: (608) 218-6900
Fax: (608) 218-6910****DATE: February 25, 2008****TIME: 1:50 PM, CST****Pages (including cover): 16****Client Code: NWestern-10987**

The documents accompanying this facsimile transmission contain information from the law firm of CASIMIR JONES, S.C., which are confidential or privileged. The information is intended to be for the use of the individual or entity named on this cover sheet. If you are not the intended recipient, be aware that any disclosure, copying, distribution, or use of the contents of this faxed information is prohibited. If you have received this facsimile in error, please notify us by telephone immediately so that we can arrange for the return of the original documents. Thank you.

MESSAGE:

Re: U.S. Patent Application Serial No.: 11/444,591
Filed: 06/01/2006
Entitled: **Compositions And Methods For Altering Immune Function**
Applicant(s): Laurence Howard, *et al.*
Atty Docket: NWestern-10987

To Whom It May Concern:

Attached please find a copy of our Response to the Notice To File Missing Parts Of Nonprovisional Application Mailed 06/22/2006, which was filed in the USPTO on September 22, 2006, and which was stamped as received by the OIPE on September 26, 2006.

As you will see, included with this Response is a completed **Form-1595**, as well as an executed **Assignment** document for recording. Unfortunately, a recent attempt to view this matter in the Assignment Division database proved unsuccessful, as it appears that the Assignment was never recorded. Thus, we are requesting that the Assignment document included in the attached Response be recorded in the Assignment Division as soon as possible. Once the Reel and Frame Numbers have been assigned, please fax the Notice Of Recordation to the following number: **(608) 218-6910**. Additionally, since the \$40 recordation fee was previously paid in this matter, it is our belief that no additional fee is due at this time.

Thank you for your assistance. If there are any questions regarding this request, please contact me directly at the phone number listed above.

Kind Regards,


Susan M. Knight**Attachments: Response to Notice To File Missing Parts Mailed 06/22/2006 (15 pp.)****Patent, Trademark and Copyright Attorneys****440 Science Drive, Suite 203 ★ Madison, Wisconsin 53711 ★ T: 608.218.6900 F: 608.218.6910****RECORDED: 02/25/2008****PATENT
REEL: 020557 FRAME: 0886**