

Form PTO-1595 (Rev. 03-09)  
OMB No. 0651-0027 (exp. 03/31/2009)

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

## RECORDATION FORM COVER SHEET PATENTS ONLY

C21-08008 NAT

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)**

Leslie STREET, Rudolf MUELLER & Steven LEE

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

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

Execution Date(s) December 16 & December 27, 2009

- ☒ 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: Cortex Pharmaceuticals, Inc.

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

Street Address: 15421 Barranca Parkway

City: Irvine

State: California

Country: United States Zip: 92718

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

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

A. Patent Application No.(s)

12/451,515

☐ 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: Henry D. Coleman

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

Street Address: Coleman Sudol Sapone, P.C.

714 Colorado Avenue

City: Bridgeport

State: CT Zip: 06605-1601

Phone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

**9. Signature:**

Signature

Henry D. Coleman  
Name of Person Signing

**6. Total number of applications and patents involved: 1**

7. Total fee (37 CFR 1.21(h) & 3.41) \$40

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

**8. Payment Information**

Deposit Account Number 04/0838

Authorized User Name Henry D. Coleman

January 7, 2010

Date

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

8

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:  
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O. Box 1450, Alexandria, V.A. 22313-1450

**PATENT**

**REEL: 023756 FRAME: 0032**

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CH \$40.00 040838 12451515

### ASSIGNMENT

WHEREAS, we, Leslie STREET, a citizen of the United Kingdom, residing at 24631 Royale Ridge, Laguna Niguel, CA 92677, US; Rudolf MUELLER, a citizen of Germany, residing at 19431 Rue de Valore, No. 56B, Foothill Ranch, CA 92610 US and Steven LEE, a citizen of the United States of America, residing at 8825 Callita St., San Gabriel, CA 91775 US, have invented new and useful improvements in "DI-SUBSTITUTED AMIDES FOR ENHANCING GLUTAMATERGIC SYNAPTIC RESPONSES", for which we filed the non-provisional patent application number 12/451,515 in the United States Patent and Trademark Office on November 16, 2009, said application claiming priority from International Patent Application, serial number PCT/US2008/006271 on May 16, 2008, provisional patent application serial number 60/930,633 filed May 17, 2007 and provisional patent application serial number 60/958,069 filed July 2, 2007. (Hereinafter these applications are referred to collectively as "the applications")

WHEREAS, CORTEX PHARMACEUTICALS, INC., (hereinafter, "CORTEX") having an office and principal place of business at 15421 Barranca Parkway, Irvine, California 92718 US, has acquired and is desirous of acquiring the entire right, title and interest in and to the application and invention therein described and claimed and any Letters Patent which may be issued upon the application or for improvements therein contained. The effects of this assignment are retroactive to the date of filing of the

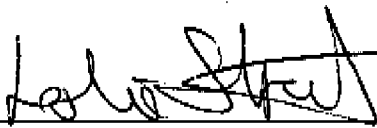
Now, THEREFORE, in consideration of good and valuable considerations, to us in hand paid, the receipt and sufficiency of which are hereby acknowledged, we, Leslie STREET, Rudolf MUELLER and Steven LEE, have sold, assigned and transferred and do hereby sell, assign and transfer unto said CORTEX, its successors and assigns, our entire right, title and interest in and to the application and to the invention therein disclosed and the entire right, title and interest in and to any Letters Patent which may issue thereon, and the right to apply for any Letters Patent in the United States of America and in any and all foreign countries on said invention, including all non-provisional, national phase, divisional, renewal, substitute and continuation applications based in whole or in part upon said invention, or upon any and all Letters Patents that may issue thereon, and every priority right that is or may be predicated upon or arise from said invention, the same to be held and enjoyed by said CORTEX, for its own use and enjoyment and for the use and enjoyment of its successors and assigns, to the full end of the term for which any said Letters Patent are granted, as fully and as entirely as the same would have been held and enjoyed by me had this Assignment and sale not been made.

And we hereby authorize said CORTEX to file patent applications in any or all other countries on said invention in my name or in the name of said CORTEX or otherwise as said CORTEX may deem advisable.

And we hereby authorize the empowered officials of all governments to issue or transfer any said Letters Patent granted, to said CORTEX, as assignee of the entire right, title and interest therein or otherwise as said CORTEX may direct, in accordance with this instrument or assignment.

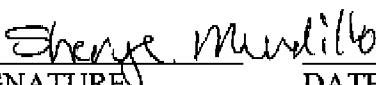
In further consideration of said good and valuable considerations, we, Leslie STREET Rudolf MUELLER and Steven LEE, further represent and warrant to said CORTEX, its successors and assigns, that there are no rights and interests outstanding inconsistent with the rights and interests granted herein and that we have not executed any instrument or granted or transferred any rights or interests inconsistent with the rights and interests granted herein and that we will not execute any instrument or grant or transfer any rights or interests inconsistent herewith, and we bind executors, administrators and legal representatives, as the case may be, to execute and deliver to said CORTEX, its successors and assigns, and we hereby irrevocably appoint said CORTEX as our true and lawful attorney-in-fact on our and its behalf and in our aid/or its name, place and stead to execute, any further documents or instruments and do any and all further acts that may be deemed necessary or desirable by said CORTEX, its successors and assigns, to vest in said CORTEX, its successors and assigns, the title whose conveyance is made hereby, and to enable such title to be recorded in the United States and all other countries, and to enable said CORTEX to sustain or reissue any said Letters Patent granted, and to maintain, perfect, support and protect the right, title and interest of said CORTEX, its successors and assigns, in and to the said invention, and any Letters Patent granted, particularly in cases of interference and litigation.

And we further covenant and agree, in consideration of the premises, that we, my executors and administrators, will at any time upon request of said CORTEX, its successors or assigns, and at its expense, communicate to said CORTEX, its successors and assigns, any facts relating to the invention and improvements and the history thereof, known to me or my heirs, executors, administrators or legal representatives, and that we will testify as to the same in any interference, or other litigation when requested to do so by said CORTEX, its successors and assigns.

  
LESLIE STREET, Inventor (signature)

10/12/2009  
DATE

Leslie K. Sphar  12/16/09  
Witness Name (PRINT) SIGNATURE DATE

Sheryl Mendillo  12-16-09  
Witness Name (PRINT) SIGNATURE DATE

  
RUDOLF MUELLER, Inventor (signature)

16. Dec. 2009  
DATE

Leslie K. Sphar  12/16/09  
Witness Name (PRINT) SIGNATURE DATE

Sheryl Mendillo  12-16-09  
Witness Name (PRINT) SIGNATURE DATE

\_\_\_\_\_  
STEVEN LEE, Inventor (signature)

\_\_\_\_\_  
DATE

\_\_\_\_\_  
Witness name (PRINT)

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

\_\_\_\_\_  
Witness name (PRINT)

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

ASSIGNMENT

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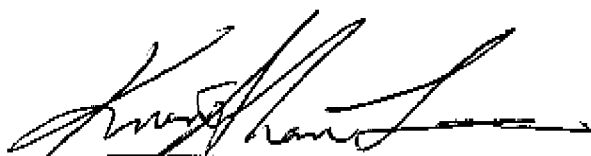
Now, THEREFORE, in consideration of good and valuable considerations, to us in hand paid, the receipt and sufficiency of which are hereby acknowledged, we, Leslie STREET, Rudolf MUELLER and Steven LEE, have sold, assigned and transferred and do hereby sell, assign and transfer unto said CORTEX, its successors and assigns, our entire right, title and interest in and to the application and to the invention therein disclosed and the entire right, title and interest in and to any Letters Patent which may issue thereon, and the right to apply for any Letters Patent in the United States of America and in any and all foreign countries on said invention, including all non-provisional, national phase, divisional, renewal, substitute and continuation applications based in whole or in part upon said invention, or upon any and all Letters Patents that may issue thereon, and every priority right that is or may be predicated upon or arise from said invention, the same to be held and enjoyed by said CORTEX, for its own use and enjoyment and for the use and enjoyment of its successors and assigns, to the full end of the term for which any said Letters Patent are granted, as fully and as entirely as the same would have been held and enjoyed by me had this Assignment and sale not been made.

And we hereby authorize said CORTEX to file patent applications in any or all other countries on said invention in my name or in the name of said CORTEX or otherwise as said CORTEX may deem advisable.

And we hereby authorize the empowered officials of all governments to issue or transfer any said Letters Patent granted, to said CORTEX, as assignee of the entire right, title and interest therein or otherwise as said CORTEX may direct, in accordance with this instrument or assignment.

In further consideration of said good and valuable considerations, we, Leslie STREET Rudolf MUELLER and Steven LEE, further represent and warrant to said CORTEX, its successors and assigns, that there are no rights and interests outstanding inconsistent with the rights and interests granted herein and that we have not executed any instrument or granted or transferred any rights or interests inconsistent with the rights and interests granted herein and that we will not execute any instrument or grant or transfer any rights or interests inconsistent herewith, and we bind executors, administrators and legal representatives, as the case may be, to execute and deliver to said CORTEX, its successors and assigns, and we hereby irrevocably appoint said CORTEX as our true and lawful attorney-in-fact on our and its behalf and in our aid/or its name, place and stead to execute, any further documents or instruments and do any and all further acts that may be deemed necessary or desirable by said CORTEX, its successors and assigns, to vest in said CORTEX, its successors and assigns, the title whose conveyance is made hereby, and to enable such title to be recorded in the United States and all other countries, and to enable said CORTEX to sustain or reissue any said Letters Patent granted, and to maintain, perfect, support and protect the right, title and interest of said CORTEX, its successors and assigns, in and to the said invention, and any Letters Patent granted, particularly in cases of interference and litigation.

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LESLIE STREET, Inventor (signature)DATEWitness Name (PRINT)SIGNATUREDATEWitness Name (PRINT)SIGNATUREDATERUDOLF MUELLER, Inventor (signature)DATEWitness Name (PRINT)SIGNATUREDATEWitness Name (PRINT)SIGNATUREDATESTEVEN LEE, Inventor (signature)Dec 27, 2009DATEJosephine Chen Josephine Chen 12/27/09Witness name (PRINT)SIGNATUREDATEWendell ChenWitness name (PRINT)SIGNATURE12/27/09DATE