

PATENT ASSIGNMENT

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SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
Northwestern University	08/02/2012
RECEIVING PARTY DATA	
Name:	Annelise E. Barron, Ph.D.
Street Address:	753 Clark Way
City:	Palo Alto
State/Country:	CALIFORNIA
Postal Code:	94304
PROPERTY NUMBERS Total: 3	
Property Type	Number
Patent Number:	6887845
Patent Number:	8114830
Application Number:	13385310
CORRESPONDENCE DATA	
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Address Line 4:	Milwaukee, WISCONSIN 53202
ATTORNEY DOCKET NUMBER:	6374, 6374-CON, 6374-CON2
NAME OF SUBMITTER:	Linda Kasulke
Total Attachments: 4 source=ASSIGNMENT NU TO ANNELISE BARRON AUGUST 2012#page1.tif source=ASSIGNMENT NU TO ANNELISE BARRON AUGUST 2012#page2.tif source=ASSIGNMENT NU TO ANNELISE BARRON AUGUST 2012#page3.tif source=ASSIGNMENT NU TO ANNELISE BARRON AUGUST 2012#page4.tif	

CH \$120.00 6887845

PATENT
Attorney Docket Nos: 6374, 6374-CON, 6374-CON2
For: ☒ U.S. and/or ☐ Foreign Rights
For: ☒ U.S. Application and ☒ U.S. Patent
By: ☐ Inventor(s) or ☒ Present Owner

ASSIGNMENT OF INVENTION

In consideration of the payment by ASSIGNEE to each ASSIGNOR identified below of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNOR:
(inventor(s) or

Northwestern University
633 Clark Street
Evanston, IL 60208

*(If assignment is by person or entity to whom invention was previously assigned
and this was recorded in PTO add the following)*

ASSIGNEE:

Annelise E. Barron, Ph.D.
753 Clark Way
Palo Alto, CA 94304
(Address)

and the successors, assigns and legal representatives of the ASSIGNEE
(complete one of the following)

- ☒ the entire right, title and interest
☐ an undivided _____ percent (_____%) interest
for the United States and its territorial possessions

(check the following box if foreign rights are also to be assigned)

☐ and in all foreign countries, including all rights to claim priority,
in and to any and all improvements which are disclosed in the invention entitled:

POLYPEPTOID PULMONARY SURFACTANTS

(check and complete (a), (b), (c), (d) or (e))

and which is found in

- (a) ☐ U.S. patent application executed on even date herewith
- (b) ☐ U.S. patent application executed on _____
 - ☐ To comply with 37 CFR 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney, as named in the Declaration and Power of Attorney I executed for this invention on the execution date stated above, to insert below the filing date and application number when it becomes known.
- (c) ☐ U.S. application serial no. _____ filed on _____
- (d) ☐ U.S. patent no. _____ issued _____
 - ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.
- (e) ☒ the application and patents listed in attached Schedule A.

(also check (e) if foreign application(s) is also being assigned)

(e) ☐ 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, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof

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;

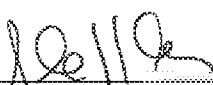
ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to

apply for, obtain, maintain, issue and 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.

WARNING: Date of signing must be the same as the date of execution of the application if item (a) was checked above.

NORTHWESTERN UNIVERSITY

Signature of ASSIGNOR:

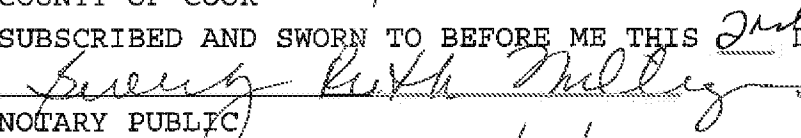
BY: 
Alicia I. Löffler, Ph.D.
Associate Vice President
Research and Executive Director,
Innovation and New Ventures
Office (INVO)

DATE: August 7, 2012

STATE OF ILLINOIS)
) SS

COUNTY OF COOK)

SUBSCRIBED AND SWORN TO BEFORE ME THIS 2nd DAY OF AUGUST, 2012.


NOTARY PUBLIC

MY COMMISSION EXPIRES: 5/21/2013

seal:



SCHEDULE A

PATENT APPLICATION NO.	FILING DATE	COUNTRY	PATENT NO.	ISSUE DATE	TITLE
09/788,308	02/16/2001	US	6,887,845	05/03/2005	POLYPEPTOID PULMONARY SURFACTANTS
11/120,071	05/02/2005	US	8,114,830	02/14/2012	POLYPEPTOID PULMONARY SURFACTANTS
13/385,310	02/13/2012	US			POLYPEPTOID PULMONARY SURFACTANTS