PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1 Stylesheet Version v1.2

EPAS ID: PAT2657103

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT

CONVEYING PARTY DATA

Name	Execution Date
STEVEN J. SIEGEL	07/21/2003
ROBERT H. LENOX	09/18/2003
KAREN I. WINEY	09/17/2003
RAQUEL E. GUR	12/16/2009

RECEIVING PARTY DATA

Name:	THE TRUSTEES OF THE UNIVERSITY OF PENNSYLVANIA
Street Address:	3160 CHESTNUT STREET
Internal Address:	SUITE 200
City:	PHILADELPHIA
State/Country:	PENNSYLVANIA
Postal Code:	19104-6283

PROPERTY NUMBERS Total: 1

Property Type	Number
Application Number:	12582615

CORRESPONDENCE DATA

Fax Number: (646)878-0801 **Phone**: 646-878-0800

Email: USPTO@pearlcohen.com

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

Correspondent Name: PEARL COHEN ZEDEK LATZER BARATZ LLP

Address Line 1: 1500 BROADWAY
Address Line 2: 12TH FLOOR

Address Line 4: NEW YORK, NEW YORK 10036

ATTORNEY DOCKET NUMBER:	P-9565-US1
NAME OF SUBMITTER:	ANDREA RICHTER
	PAIENI

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Signature:	/AR/
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Date:	12/20/2013
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Attorney Docket No.: PENN-0789

ASSIGNMENT

WHEREAS, we Steven J. Siegel, Karen I. Winey, Raquel E. Gur and Robert H. Lenox, hereinafter referred to as the assignors, residing respectively at 86 Highpoint Drive, Berwyn, Pennsylvania 19312, 261 S. 25th Street, Philadelphia, Pennsylvania 19104, 815 St. George's Road, Philadelphia, Pennsylvania 19119 and 4 Scarlet Oak Road, Califon, New Jersey 07830 are the joint inventors of certain inventions or improvements for which we have made application for Letters Patent to the United States, identified as Serial No. 10/046,504, filed October 19, 2001, entitled Polymer-based Surgically Implantable Haloperidol Delivery Systems and Methods for Their Production and Use; and

WHEREAS, The Trustees of the University of Pennsylvania, hereinafter referred to as the assignee, of Philadelphia, Pennsylvania, a non-profit corporation of Pennsylvania, U.S.A., is desirous of acquiring the entire right, title and interest in and to the said inventions or improvements and in and to the said application, and in, to and under any and all Letters Patent which may be granted on or as a result thereof in any and all countries:

NOW, THEREFORE, for and in consideration of the sum of One Dollar (\$1.00) to each of us in hand paid by said assignee, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said assignors, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over to said assignee, the entire right, title and interest in and to said inventions or improvements and said application and any and all continuations, divisions and renewals of and substitutes for said application, and in, to and under any and all Letters Patent which may be granted on or as a result thereof in the United States and any and all other countries, and any reissue or reissues or extension or extensions of said Letters Patent, and assign to and authorize said assignee, to file in our names applications for Letters Patent in all countries, the same to be held and enjoyed by said assignee, its successors, assigns, nominees or legal representatives, to the full end of the term or terms for which said Letters Patent respectively may be granted, reissued or extended, as fully and entirely as the same would have been held and enjoyed by us had this assignment, sale and transfer not been made.

AND we hereby covenant that we have full right to convey the entire interest herein assigned, and that we have not executed and will not execute any agreement in conflict herewith, and we further

PATENT REEL: 014847 FRAME: 0612

covenant and agree that we will each time request is made and without undue delay, execute and deliver all such papers as may be necessary or desirable to perfect the title to said inventions or improvements, said application and said Letters Patent to said assignee, its successors, assigns, nominees, or legal representatives, and each of us agrees to communicate to said assignee or to its nominee all known facts respecting said inventions or improvements, said application and said Letters Patent, to testify in any legal proceedings, to sign all lawful papers to execute all disclaimers and divisional, continuing, reissue and foreign applications, to make all rightful oaths, and generally to do everything possible to aid said assignee, its successors, assigns, nominees and legal representatives to obtain and enforce for its or their own benefit proper patent protection for said inventions or improvements in any and all countries.

AND we hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any country or countries foreign to the United States whose duty it is to issue patents on applications as aforesaid, to issue to said assignee, as assignee of the entire right, title and interest, any and all Letters Patent for said inventions or improvements, including any and all Letters Patent of the United States which may be issued and granted on or as a result of the application aforesaid, in accordance with the terms of this assignment.

IN WITNESS WHEREOF, we have hereunto set our hands and seals.

Steven J. Siegef

(L.S.)

Karen I. Winey

(L.S.)

Raquel E. Gur

(L.S.)

- 2 -

PATENT REEL: 014847 FRAME: 0613

[WHERE ALL INVENTORS SIGN BEFORE THE SAME NOTARY:]
STATE OFSS
COUNTY OF
On this day of, 2003, before me personally appeared (NAMES OF INVENTORS) Steven J. Siegel. Karen T. Winey, Raquel E. Gur and Robert H. Lenox to me personally known, and known to be the persons who executed the foregoing assignment, and who acknowledged to me that the execution of the same was of their own free will and for the use and purposes therein set forth.
Notary Public (PLEASE SHOW THE DATE OF EXPIRATION OF YOUR COMMISSION)
WHERE INVENTORS SIGN BEFORE SEPARATE NOTARIES: STATE OF Pennsylvaria COUNTY OF Philadelphia On this 21 day of the 2003, before me personally appeared (NAME OF INVENTOR) Steven J. Siegel to me personally known, and known to be the person who executed the foregoing assignment, and who acknowledged to me that the execution of the same was of his own free will and for the use and purposes therein set forth. Notary Sublic (Please SHOW THE DATE OF EXPIRATION OF YOUR COMMISSION) NOTARIAL SEAL MARY ANN DINKINS Notary Public City of Philadelphia, Phila County MCommission Expires November 14, 2003.

- -

PATENT REEL: 014847 FRAME: 0614

STATE OF
COUNTY OF
On this day of, 2003, before me personally appeared (NAME OF INVENTOR) Karen I. Winey to me personally known, and known to be the person who executed the foregoing assignment, and who acknowledged to me that the execution of the same was of his own free will and for the use and purposes therein set forth.
Notary Public (PLEASE SHOW THE DATE OF EXPIRATION OF YOUR COMMISSION)
STATE OF
SS
COUNTY OF
On this day of, 2003, before me personally appeared (NAME OF INVENTOR) Raquel E. Gur to me personally known, and known to be the person who executed the foregoing assignment, and who acknowledged to me that the execution of the same was of her own free will and for the use and purposes therein set forth.
NOTATY Public (PLEASE SHOW THE DATE OF EXPIRATION OF YOUR COMMISSION)

PATENT REEL: 014847 FRAME: 0615

01/18/03 FRI 13:01 FAX 8568101454

STATE OFSS	
COUNTY OF	
appeared (NAME OF INVENTOR) ROLL known to be the person wh	2003, before me personally ert H. Lenox to me personally known, and o executed the foregoing assignment, and nat the execution of the same was of his use and purposes therein set forth.
	Notary Public (PLEASE SHOW THE DATE OF EXPIRATION OF YOUR COMMISSION)

- 5 -

PATENT REEL: 014847 FRAME: 0616

Attorney Docket No.: PENN-0789

ASSIGNMENT

WHEREAS, we Steven J. Siegel, Karen I. Winey, Raquel E. gur and Robert H. Lenox, hereinafter referred to as the assignors, residing respectively at 86 Highpoint Drive, 25th 261 S. Pennsylvania 19312, Berwyn, philadelphia, Pennsylvania 19104, 815 St. George's Road, philadelphia, Pennsylvania 19119 and 4 Scarlet Oak Road, califon, New Jersey 07830 are the joint inventors of certain have inventions or improvements for which we application for Letters Patent to the United States, identified as Serial No. 10/046,504, filed October 19, 2001, entitled Polymer-based Surgically Implantable Haloperidol pelivery Systems and Methods for Their Production and Use; and

WHEREAS, The Trustees of the University of Pennsylvania, hereinafter referred to as the assignee, of Philadelphia, Pennsylvania, a non-profit corporation of Pennsylvania, U.S.A., is desirous of acquiring the entire right, title and interest in and to the said inventions or improvements and in and to the said application, and in, to and under any and all Letters Patent which may be granted on or as a result thereof in any and all countries:

NOW, THEREFORE, for and in consideration of the sum of One Dollar (\$1.00) to each of us in hand paid by said assignee, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said assignors, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over to said assignee, the entire right, title and interest in and to said inventions or improvements and said application and any and all continuations, divisions and renewals of and substitutes for said application, and in, to and under any and all Letters Patent which may be granted on or as a result thereof in the United States and any and all other countries, and any reissue or reissues or extension or extensions of said Letters Patent, and assign to and authorize said assignee, to file in our names applications for Letters Patent in all countries, the same to be held and enjoyed by said assignee, its successors, assigns, nominees or legal representatives, to the full end of the term or terms for which said Letters Patent respectively may be granted, reissued or extended, as fully and entirely as the

- 2 -

PATENT REEL: 014847 FRAME: 0617

 $_{\rm game}$ would have been held and enjoyed by us had this $_{\rm ags}$ ignment, sale and transfer not been made.

AND we hereby covenant that we have full right to convey the entire interest herein assigned, and that we have not executed and will not execute any agreement in conflict merewith, and we further covenant and agree that we will each time request is made and without undue delay, execute and deliver all such papers as may be necessary or desirable to perfect the title to said inventions or improvements, said application and said Letters Patent to said assignee, ts successors, assigns, nominees, or legal representatives, and each of us agrees to communicate to said assignee or to its nominee all known facts respecting said inventions or improvements, said application and said Letters Patent, to testify in any legal proceedings, to sign all lawful papers to execute all disclaimers and divisional, continuing, reissue and foreign applications, to make all rightful paths, and generally to do everything possible to aid said assignee, its successors, assigns, nominees and legal representatives to obtain and enforce for its or their own benefit proper patent protection for said inventions or improvements in any and all countries.

AND we hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any country or countries foreign to the United States whose duty it is to issue patents on applications as aforesaid, to issue to said assignee, as assignee of the entire right, title and interest, any and all Letters Patent for said inventions or improvements, including any and all Letters Patent of the United States which may be issued and granted on or as a result of the application aforesaid, in accordance with the terms of this assignment.

IN WITNESS WHEREOF, we have hereunto set our hands and seals.

(L.S.)

Steven J. Siegel

(L.S.)

Karen I. Winey

- 3 -

PATENT REEL: 014847 FRAME: 0618

Raquel E. Gur
(L.S.)
Robert H. Lenox
[WHERE ALL INVENTORS SIGN BEFORE THE SAME NOTARY:]
TO THE OF
STATE OFSS
COUNTY OF
On this day of, 2003, before me personally appeared (NAMES OF INVENTORS) Steven J. Siegel, Karen I. Winey, Raquel E. Gur and Robert H. Lenox to me personally known, and known to be the persons who executed the foregoing assignment, and who acknowledged to me that the execution of the same was of their own free will and for the use and purposes therein set forth.
Notary Public (PLEASE SHOW THE DATE OF EXPIRATION OF YOUR COMMISSION)
[WHERE INVENTORS SIGN BEFORE SEPARATE NOTARIES:] STATE OF
ss
COUNTY OF
On this day of, 2003, before me personally appeared (NAME OF INVENTOR) Steven J. Siegel to me personally known, and known to be the person who executed the foregoing assignment, and who acknowledged to me that the execution of the same was of his own free will and for

the use and purposes therein set forth.

PATENT REEL: 014847 FRAME: 0619

(MMISSION)

- 5 -

STATE OF		
COUNTY OF	SS	
on this personally a personally k the foregoin the executio	mown, and kno ng assignment, n of the same	, 2003, before me of Inventor Karen I. Winey to me own to be the person who executed, and who acknowledged to me that was of his own free will and for ein set forth.
COMMISSION)		Notary Public (PLEASE SHOW THE DATE OF EXPIRATION OF YOUR
STATE OF	SS	
On this personally personally the foregoing	known, and kr ng assignment on of the sam	, 2003, before me of inventor) Raquel E. Gur to me nown to be the person who executed , and who acknowledged to me that we was of her own free will and for rein set forth.
COMMISSION)		Notary Public (PLEASE SHOW THE DATE OF EXPIRATION OF YOUR

PATENT REEL: 014847 FRAME: 0620

STATE OF New Jersey
SOUNTY OF Somerset

on this 18th day of <u>leptember</u>, 2003, before me personally appeared (NAME OF INVENTOR) Robert H. Lenox to me personally known, and known to be the person who executed the foregoing assignment, and who acknowledged to me that the execution of the same was of his own free will and for the use and purposes therein set forth.

Senora C. Kelley Notary Public (PLEASE SHOW THE DATE OF EXPIRATION

COMMISSION)

LENORA C. KELLEY MOTARY PUBLIC OF NEW JERSEY) Germitation Expires June 20, 2008

PATENT REEL: 014847 FRAME: 0621

Attorney Docket No.: PENN-0789

ASSIGNMENT

WHEREAS, we Steven J. Siegel, Karen I. Winey, Raquel E. Gur and Robert H. Lenox, hereinafter referred to as the assignors, residing respectively at 86 Highpoint Drive, Berwyn, Pennsylvania 19312, 261 S. 25th Street, Philadelphia, Pennsylvania 19104, 815 St. George's Road, Philadelphia, Pennsylvania 19119 and 4 Scarlet Oak Road, Califon, New Jersey 07830 are the joint inventors of certain inventions or improvements for which we have made application for Letters Patent to the United States, identified as Serial No. 10/046,504, filed October 19, 2001, entitled Polymer-based Surgically Implantable Haloperidol Delivery Systems and Methods for Their Production and Use; and

WHEREAS, The Trustees of the University of Pennsylvania, hereinafter referred to as the assignee, of Philadelphia, Pennsylvania, a non-profit corporation of Pennsylvania, U.S.A., is desirous of acquiring the entire right, title and interest in and to the said inventions or improvements and in and to the said application, and in, to and under any and all Letters Patent which may be granted on or as a result thereof in any and all countries:

NOW, THEREFORE, for and in consideration of the sum of One Dollar (\$1.00) to each of us in hand paid by said assignee, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said assignors, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over to said assignee, the entire right, title and interest in and to said inventions or improvements and said application and any and all continuations, divisions and renewals of and substitutes for said application, and in, to and under any and all Letters Patent which may be granted on or as a result thereof in the United States and any and all other countries, and any reissue or reissues or extension or extensions of said Letters Patent, and assign to and authorize said assignee, to file in our names applications for Letters Patent in all countries, the same to be held and enjoyed by said assignee, its successors, assigns, nominees or legal representatives, to the full end of the term or terms for which said Letters Patent respectively may be granted, reissued or extended, as fully and entirely as the same would have been held and enjoyed by us had this assignment, sale and transfer not been made.

AND we hereby covenant that we have full right to convey the entire interest herein assigned, and that we have not executed and will not execute any agreement in conflict herewith, and we further

PATENT REEL: 014847 FRAME: 0622

covenant and agree that we will each time request is made and without undue delay, execute and deliver all such papers as may be necessary or desirable to perfect the title to said inventions or improvements, said application and said Letters Patent to said assignee, its successors, assigns, nominees, or legal representatives, and each of us agrees to communicate to said assignee or to its nominee all known facts respecting said inventions or improvements, said application and said Letters Patent, to testify in any legal proceedings, to sign all lawful papers to execute all disclaimers and divisional, continuing, reissue and foreign applications, to make all rightful oaths, and generally to do everything possible to aid said assignee, its successors, assigns, nominees and legal representatives to obtain and enforce for its or their own benefit proper patent protection for said inventions or improvements in any and all countries.

AND we hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any country or countries foreign to the United States whose duty it is to issue patents on applications as aforesaid, to issue to said assignee, as assignee of the entire right, title and interest, any and all Letters Patent for said inventions or improvements, including any and all Letters Patent of the United States which may be issued and granted on or as a result of the application aforesaid, in accordance with the terms of this assignment.

IN WITNESS WHEREOF, we have hereunto set our hands and seals.

Steven J. Siegel

(L.S.)

Karen I. Winey

(L.S.)

Raquel E. Gur

(L.S.)

- 2 -

PATENT REEL: 014847 FRAME: 0623

[WHERE ALL INVENTORS SIGN BEFORE THE SAME NOTARY:]
STATE OFSS
COUNTY OF
On this day of, 2003, before me personally appeared (NAMES OF INVENTORS) Steven J. Siegel. Karen I. Winey, Raquel E. Gur and Robert H. Lenox to me personally known, and known to be the persons who executed the foregoing assignment, and who acknowledged to me that the execution of the same was of their own free will and for the use and purposes therein set forth.
Notary Public (FLEASE SHOW THE DATE OF EXPIRATION OF YOUR COMMISSION) [WHERE INVENTORS SIGN BEFORE SEPARATE NOTARIES:]
STATE OFSS
COUNTY OF
On this
Notary Public (please show the date of expiration of your commission)
the state of the s

PATENT REEL: 014847 FRAME: 0624

STATE	OF.	Pennsy	wana
COLINITY	z oi	- Philad	lelphia

On this day of September, 2003, before me personally appeared (NAME OF INVENTOR) Karen I. Winey to me personally known, and known to be the person who executed the foregoing assignment, and who acknowledged to me that the execution of the same was of his own free will and for the use and purposes therein set forth.

Kay an Aleskers

Notary Public (Please show the date of expiration of Your Commission)

STATE	OF _	
		SS
COUNTY	YOF	

NOTARIAL SEAL MARY ANN DINKINS, Notary Public City of Philadelphia, Phila. County My Commission Expires November 14, 2003

On this ______ day of ______, 2003, before me personally appeared (NAME OF INVENTOR) Raquel E. Gur to me personally known, and known to be the person who executed the foregoing assignment, and who acknowledged to me that the execution of the same was of her own free will and for the use and purposes therein set forth.

Notary Public (please show the nate of expiration of your commission)

-4-

PATENT REEL: 014847 FRAME: 0625

STATE OF	
SS	
COUNTY OF	
appeared (NAME OF INVENTOR) RO known to be the person who acknowledged to me to	, 2003, before me personally bert H. Lenox to me personally known, and ho executed the foregoing assignment, and that the execution of the same was of his e use and purposes therein set forth.
	Notary Public (Digase show the Date of Expiration of Your Commission)

- 5 -

RECORDED: 01/02/2004

PATENT REEL: 014847 FRAME: 0626

Docket No.:

P-9565-US

ASSIGNMENT

In consideration of One Dollar (\$1.00), and other good and valuable consideration, the Receipt of which is hereby acknowledged, I the undersigned, SIEGEL, Steven residing at 86 Highpoint Drive, Berwyn, PA 19312, USA; WINEY, Karen residing at, 261 S. 25th Street, Philadelphia, USA; GUR, Raquel E. residing at, 815 St. George's Road, Philadelphia, USA and LENOX, Robert H. residing at 4 Scarlet Oak Road, Californ, NJ 07830, USA

Hereby sell, assign and transfer to University of Pennsylvania, located at 3160 Chestnut Street, Suite 200, Philadelphia. PA 19104-6283 its successors, assigns and legal representatives (hereinafter, the "Assignee"), the entire right, title and interest for all countries, in and to any and all inventions which are disclosed and claimed, and as possessed by the undersigned, any and all inventions which are disclosed but not claimed in the application for United States Patent U.S. Serial No. 10/046,504 filed October 19, 2001 and is entitled

POLYMER-BASED SURGICALLY IMPLATABLE HALOPERIDOL DELIVERY SYSTEMS AND METHODS FOR THEIR PRODUCTION AND USE

and in and to said application and all divisional, continuing, substitute, renewal, reissue, and all other applications for U.S. Letters Patent or other related property rights in any and all foreign countries which have been or shall be filed on any of said inventions disclosed in said application; and in and to all original and reissued patents or related foreign documents which have been or shall be issued on said inventions. I hereby authorize and request the attorney of record of the firm Pearl Cohen Zedek Latzer, LLP, 10 Rockefeller Plaza, Suite 1001, New York, New York 10020, to insert in the parentheses above, the filing date and US Serial No. of said application when known;

Authorize and request the Commissioner of Patents of the United States to issue to said Assignee, the corporation above named, its successors, assigns and legal representatives, in accordance with this assignment, any and all United States Letters Patent on said inventions or any of them disclosed in said application;

Agree that said Assignee may apply for and receive foreign Letters Patent or rights of any other kind for said inventions, or any of them; and may claim, in applications for said foreign Letters Patent or other rights, the priority of the aforesaid United States patent application under the provisions of the International Convention of 1883 and later modifications thereof, under the Patent Cooperation Treaty, under the European Patent Convention or under any other available international agreement; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this

Docket No.: P-9565-US

assignment, the under-signed or the undersigned's executors or administrators will, for the United States and all foreign countries, execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications or other documents on any and all said inventions; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignee, its successors, assigns and representatives, all facts known and documents available to the undersigned relating to said inventions and the history thereof; testify in all legal proceedings; and generally do everything possible which said Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing, maintaining and enforcing proper patent protection for said inventions and for vesting title to said inventions and all applications for patents or related foreign rights and all patents on said inventions, in said Assignee, its successors, assigns and legal representatives; and

COVENANT with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

(month / day / year)	STEVEN SIEGEL
STATE OF:	
COUNTY OF:	: SS. :
, 2007, personally a having first executed the foregrown, did acknowledge the foregrown.	ic in and for the State and County aforesaid, on this day of appeared Steven Siegel , who being to me personally known, and who oing instrument in my presence and having been by me first duly oregoing instrument as his free deed and act, signed, sealed and lose therein stated and intending to be legally bound thereby and a recorded.
	Notary Public
	My Commission Expires:

	Docket No.:	P-9565-US
(month / day / year)	KAREN WINEY	
STATE OF:: : s		
COUNTY OF::	s.	
	instrument as his free deed and act, in stated and intending to be legally	lly known, and who en by me first duly signed, sealed and
	Notary Public	_
	My Commission Expires:	
12 16 200 9 (month day year)	RAQUEL E. GUR	Ju
STATE OF: <u>Pennsylvania</u> : COUNTY OF: <u>Philadelphia</u> :	SS.	<i>L</i> .
Before me, a notary public in and for peccenter, 2007, personally appeared R having first executed the foregoing instrument, did acknowledge the foregoing delivered by him for the purpose thereintending that said instrument be recorded.	ument in my presence and having been instrument as his free deed and act, in stated and intending to be legally	ally known, and who en by me first duly signed, sealed and

COMMONWEALTH OF PENNSYLVANIA

My Commission Expires:

Notarial Seal
Jessica M. Coyle, Notary Public
City of Philadelphia, Philadelphia County
My Commission Expires Feb. 28, 2013
Member. Pennsylvania Association of Notaries

2/26/2013

(month / day / year)	ROBERT H. LENOX
STATE OF:	:
COUNTY OF:	: SS. :
, 2007, personally appear who having first executed the forego sworn, did acknowledge the forego	and for the State and County aforesaid, on this day of a red Robert H. Lenox, who being to me personally known, and ing instrument in my presence and having been by me first duly bing instrument as his free deed and act, signed, sealed and therein stated and intending to be legally bound thereby and orded.
	Notary Public
	My Commission Expires:

Docket No.: P-9565-US

- 4 -