

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT2724237

SUBMISSION TYPE:	NEW ASSIGNMENT										
NATURE OF CONVEYANCE:	ASSIGNMENT										
CONVEYING PARTY DATA											
<table border="1"> <thead> <tr> <th>Name</th> <th>Execution Date</th> </tr> </thead> <tbody> <tr> <td>ORDWAY RESEARCH INSTITUTE, INC.</td> <td>02/19/2013</td> </tr> <tr> <td>ALBANY COLLEGE OF PHARMACY & HEALTH SCIENCES</td> <td>02/19/2013</td> </tr> </tbody> </table>		Name	Execution Date	ORDWAY RESEARCH INSTITUTE, INC.	02/19/2013	ALBANY COLLEGE OF PHARMACY & HEALTH SCIENCES	02/19/2013				
Name	Execution Date										
ORDWAY RESEARCH INSTITUTE, INC.	02/19/2013										
ALBANY COLLEGE OF PHARMACY & HEALTH SCIENCES	02/19/2013										
RECEIVING PARTY DATA											
<table border="1"> <tr> <td>Name:</td> <td>NANOPHARMACEUTICALS LLC</td> </tr> <tr> <td>Street Address:</td> <td>1 DISCOVERY DRIVE</td> </tr> <tr> <td>City:</td> <td>RENSSELAER</td> </tr> <tr> <td>State/Country:</td> <td>NEW YORK</td> </tr> <tr> <td>Postal Code:</td> <td>12144</td> </tr> </table>		Name:	NANOPHARMACEUTICALS LLC	Street Address:	1 DISCOVERY DRIVE	City:	RENSSELAER	State/Country:	NEW YORK	Postal Code:	12144
Name:	NANOPHARMACEUTICALS LLC										
Street Address:	1 DISCOVERY DRIVE										
City:	RENSSELAER										
State/Country:	NEW YORK										
Postal Code:	12144										
PROPERTY NUMBERS Total: 1											
<table border="1"> <thead> <tr> <th>Property Type</th> <th>Number</th> </tr> </thead> <tbody> <tr> <td>Application Number:</td> <td>12751375</td> </tr> </tbody> </table>		Property Type	Number	Application Number:	12751375						
Property Type	Number										
Application Number:	12751375										
CORRESPONDENCE DATA											
<p>Fax Number: (518)220-1857</p> <p>Phone: 518-220-1850</p> <p>Email: ctuminello@iplawusa.com</p> <p><i>Correspondence will be sent via US Mail when the email attempt is unsuccessful.</i></p> <p>Correspondent Name: SCHMEISER, OLSEN & WATTS LLP</p> <p>Address Line 1: 22 CENTURY HILL DRIVE</p> <p>Address Line 2: SUITE 302</p> <p>Address Line 4: LATHAM, NEW YORK 12110</p>											
ATTORNEY DOCKET NUMBER:	NANOP.50221-NY										
NAME OF SUBMITTER:	ARLEN L. OLSEN										
Signature:	/ARLEN L. OLSEN/										
Date:	02/12/2014										

PATENT

Total Attachments: 16

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: NANOPHARMACEUTICALS LLC

Application No./Patent No.: 12/751,375 Filed/Issue Date: March 31, 2010

Titled: COMBINATION TREATMENT OF CANCER WITH CETUXIMAB AND TETRAC

Ordway Research Institute, Inc., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in
(The extent (by percentage) of its ownership interest is _____ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)

the patent application/patent identified above, by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy therefore is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: Hung-Yun Lin, Faith B. Davis, Paul J. Davis To: Ordway Research Institute, Inc.

The document was recorded in the United States Patent and Trademark Office at
Reel 024566, Frame 0949, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet(s).

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

/Arlen L. Olsen/

Signature

February 12, 2014

Date

Arlen L. Olsen

Printed or Typed Name

Attorney

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

PATENT

REEL: 032203 FRAME: 0264

Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

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Albany College of Pharmacy & Health Sciences, a university

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest in;
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the patent application/patent identified above, by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy therefore is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: Shaker A. Mousa To: Albany College of Pharmacy & Health Science

The document was recorded in the United States Patent and Trademark Office at
Reel 028233, Frame 0100, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
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The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

/Arlen L. Olsen/

Signature

February 12, 2014

Date

Arlen L. Olsen

Printed or Typed Name

Attorney

Title

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PATENT
REEL: 032203 FRAME: 0266

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9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

Assignment of Intellectual Property

THIS ASSIGNMENT ("Assignment") is made as of this 19th day of February, 2013, by each of the undersigned (each such person, an "Assignor") for the benefit of NanoPharmaceuticals LLC, a Delaware limited liability company (the "Company").

WHEREAS, Assignor is a party to that certain Contribution Agreement dated as of February 19, 2013 by and among Albany College of Pharmacy and Health Sciences, Dr. Shaker A. Mousa, Dr. Paul J. Davis, Michael Rosenthal, Charitable Leadership Foundation, Ordway Research Institute, Inc., the Company and the Estate of Richard C. Liebich (the "Contribution Agreement"), and

WHEREAS, pursuant to the Contribution Agreement, Assignor agreed to assign, transfer and contribute certain assets to the Company under the terms of this Assignment,

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, intending to be legally bound, Assignor, solely on its or his own behalf, hereby agrees as follows:

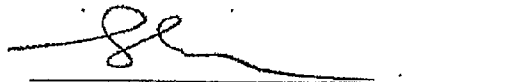
1. All capitalized terms used but not defined herein shall have the meanings given set forth in the Contribution Agreement.
2. Effective as of the Assignment Effective Date (as defined below), Assignor does hereby sell, assign, transfer and set over unto Company Assignor's entire right, title and interest in and to the items set forth in Schedule 1 attached hereto and all Intellectual Property and Intellectual Property Rights relating thereto, and all divisions, substitutions, continuations, continuations-in-part, rights of priority, reexaminations, renewals, reissues, and extensions thereof throughout the world; including Assignor's right to sue for and collect damages and other recoveries for past infringement thereof; the same to be held and enjoyed by Assignee, its successors and assigns, as fully as the same would have been held and enjoyed by Assignor had this assignment not been made. The "Assignment Effective Date" means the Closing Date; provided, however, solely with respect to the Albany College of Pharmacy and Health Sciences, the Assignment Effective Date means the date upon which the Financing Commitment shall be met, in accordance with the terms of the Contribution Agreement.
3. Assignor shall execute and deliver, or cause to be executed and delivered, from time to time hereafter, upon request of the Company, all such further documents and instruments and shall do and perform all such acts as may be reasonably necessary to give full effect to the intent of this Assignment.
4. This Assignment may be executed in counterparts and via facsimile or PDF. This Assignment shall be construed in accordance with, and shall be governed by, the internal laws of the State of New York.

IN WITNESS WHEREOF, the Assignor has executed this Assignment as of the date first above written.

ASSIGNOR:

ALBANY COLLEGE OF PHARMACY AND
HEALTH SCIENCES

By: _____
Name: _____
Title: _____



Dr. Shaker A. Mousa

Dr. Paul J. Davis

Michael Rosenthal

Richard Gochman


IN WITNESS WHEREOF, the Assignor has executed this Assignment as of the date first above written.

ASSIGNOR:

ALBANY COLLEGE OF PHARMACY AND
HEALTH SCIENCES

By: _____
Name: _____
Title: _____

Dr. Shaker A. Mousa



Dr. Paul J. Davis

Michael Rosenthal

Richard Gochman

IN WITNESS WHEREOF, the Assignor has executed this Assignment as of the date first above written.

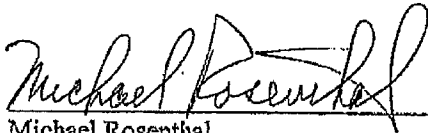
ASSIGNOR:

ALBANY COLLEGE OF PHARMACY AND
HEALTH SCIENCES

By: _____
Name: _____
Title: _____

Dr. Shaker A. Mousa

Dr. Paul J. Davis



Michael Rosenthal

Richard Gochman

IN WITNESS WHEREOF, the Assignor has executed this Assignment as of the date first above written.

ASSIGNOR:


ALBANY COLLEGE OF PHARMACY AND
HEALTH SCIENCES

By: _____
Name: _____
Title: _____

Dr. Shaker A. Mousa

Dr. Paul J. Davis

Michael Rosenthal



Richard Gochman

CHARITABLE LEADERSHIP FOUNDATION

By: *Adam Savone*
Name: ADAM SAVONE
Title: TRUSTEE

By: _____
Name: _____
Title: _____

THE ESTATE OF RICHARD C. LIEBICH

By: _____
Name: _____
Title: _____

ORDWAY RESEARCH INSTITUTE, INC.

By: _____
Name: _____
Title: _____

CHARITABLE LEADERSHIP FOUNDATION

By: _____
Name: _____
Title: _____

By: Virginia Beth Liebich
Name: Virginia Beth Liebich
Title: Executive

THE ESTATE OF RICHARD C. LIEBICH

By: Virginia Beth Liebich
Name: Virginia Beth Liebich
Title: Executive

ORDWAY RESEARCH INSTITUTE, INC.

By: _____
Name: _____
Title: _____

CHARITABLE LEADERSHIP FOUNDATION

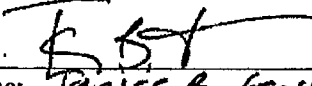
By: _____
Name: _____
Title: _____

By: _____
Name: _____
Title: _____

THE ESTATE OF RICHARD C. LIEBICH

By: _____
Name: _____
Title: _____

ORDWAY RESEARCH INSTITUTE, INC.

By:  _____
Name: Janice B. Gwlin
Title: Chapter 7 Trustee

Schedule 1

Contributed Intellectual Property

Title	Country	Patent Type	Filing Date	Application No.	Publication No.	Status	Patent No.	Issued Date
Thyroid Hormone Analogs and Methods of Use	US	Parent	9/15/2004	10943,072	US20050124862	Issued	US 7,785,632 B2	8/31/2010
	PCT	PCT	9/15/2004	PCT/US2004/030583	WO2005027895	Pending		
	AU		9/15/2004	2004273986.0	AU2004273986	Issued	2004273986	8/5/2010
	CA		9/15/2004	2539288.0	CA2539288	Pending		
	CH		5/11/2006	200480033184.6	CN1878545	Pending		
	IN		9/15/2004	1907/DELNP/2006	Not Published	Pending		
	JP		9/15/2004	2006-526439	JP2007505837	Pending		
	EP		9/15/2004	04784443.6	EP1670449	Pending		
Thyroid Hormone Analogs and Methods of Use	US	US Divisional	11/25/2009	12/626,063	US20100112079	Pending		
Thyroid Hormone Analogs and Methods of Use	EP	EP Divisional	10/7/2010	10185609.4	EP2335694	Pending		
Thyroid Hormone Analogs and Methods of Use	JP	JP Divisional	9/15/2004	2010-267623	2011-42691	Pending		
Thyroid Hormone Analogs and Methods of Use in Angiogenesis	US	CIP	9/15/2005	11/663,047	US20080124280	Issued	US 8,071,134	12/6/2011
	PCT	CIP	9/15/2005	PCT/US2005/032813	WO2006031922	Pending		
	AU	CIP	9/15/2005	2005284879.0	AU2005284879	Pending		
	CA	CIP	9/15/2005	2583410.0	CA2583410	Abandoned		
	CH	CIP	9/15/2005	200580038970.X	CN101102758	Pending		

PI-3466330 v1

	IN	CIP	9/15/2005	2461/DELNP/2007	Not Published	Pending
	JP	CIP	9/15/2005	2007-532435	JP2008513461	Pending
	EP	CIP	9/15/2005	05796606.1	EP1793814	Pending
Nanoparticle and Polymer Formulations for Thyroid Hormone Analogs, Antagonists, and Formulations Thereof	US	CIP2	4/11/2007	11/786,723	Not Published	Pending
	PCT	CIP2	4/11/2007	PCT/US2007/009026	WO2008051291	Pending
	AU	CIP2	4/11/2007	2007309727.0	AU2007309727	Pending
	CA	CIP2	4/11/2007	2648243.0	CA2648243	Pending
	JP	CIP2	4/11/2007	2009-505476	JP2009533453	Pending
	EP	CIP2	4/11/2007	07867073.4	EP2018186	Pending
	US	Parent	12/21/2007	12/004,979	US20090022806	Abandoned—refiled in the 12/947,389 application
Nanoparticle and Polymer Formulations for Thyroid Hormone Analogs, Antagonists, and Formulations and Uses Thereof	PCT		12/21/2007	PCT/US2007/026167	WO2008140507	Pending
	AU		12/21/2007	2007353426.0	AU2007353426	Pending
	CA		12/21/2007	2673133	CA2673133	Pending
	JP		12/21/2007	2009-542935	JP2010513526	Pending
	EP		12/21/2007	07874182.4	EP2120913	Pending
Nanoparticle and Polymer Formulations for Thyroid Hormone Analogs, Antagonists, and Formulations and Uses Thereof	US	Continuation	11/16/2010	12/947,389	US20110142941	Pending

Small Molecule Ligands of the Integrin RGD Recognition Site and Methods of Use	US	Parent	12/22/2009	12/644,493	US20100159021	Pending	
	US	Parent	3/31/2010	12/751,375	US20100255108	Pending	
	PCT	PCT	3/31/2010	PCT/US2010/029371	WO2010120506	Pending	
Combination Treatment of Cancer with Cetuximab and Tetrac	US	Parent	6/15/2010	12/816,287	US20110052715	Pending	
	PCT	PCT	6/15/2010	PCT/US2010/038700	WO2010148007	Pending	
	CA		6/15/2010	2/657,922	CA2765792	Pending	
	EP		6/15/2010	10790068.0	EP2442800	Pending	
Nanoparticle and Polymer Formulations for Thyroid Hormone Analogs, Antagonists, and Formulations and Uses Thereof	US	Parent	1/6/2012	13/345,194	Not Published	Pending	
	CA			Unknown	Not Published	Pending	
	EP		5/10/2012	12167491.5	Not Published	Pending	
Uses of Formulations of Thyroid Hormone Analogs and Nanoparticle Forms Thereof to Increase Chemosensitivity and Radiosensitivity in Tumor or Cancer Cells	US	Parent	9/18/2006	11/992,152	US20100209382	Abandoned	
	PCT	Parent	9/18/2006	PCT/US2006/036243			
	EP		9/18/2006	EP06803769		Withdrawn	
RGD-Binding Compounds and Methods of Use	US		6/8/2011	13/156,047	US20120258069	Pending	
COX-2-Directed Anti-Cancer Treatment	US						

PCT	PCT	5/23/2006	PCT/US2006/1965	Pending	
EP		5/23/2006	06770985.7	Issued	1889057
AU		5/23/2006	2006250294	Pending	
CA		5/23/2006	2,609,495	Pending	
US		5/23/2006	11/920910	Issued	7,927,799
JP		5/23/2006	2008-513636	Pending	

Inhibitors of PGH-2 Transactivator Activity