

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT3579904

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	ASSIGNMENT	
CONVEYING PARTY DATA		
	Name	Execution Date
	THE UAB RESEARCH FOUNDATION	10/16/2015
RECEIVING PARTY DATA		
Name:	DR. BRENT A. PONCE	
Street Address:	3160 HIGHLAND DRIVE	
City:	BIRMINGHAM	
State/Country:	ALABAMA	
Postal Code:	35202	
PROPERTY NUMBERS Total: 2		
Property Type	Number	
Application Number:	61751485	
Application Number:	14760316	
CORRESPONDENCE DATA		
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<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>		
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NAME OF SUBMITTER:	RUSSELL C. GACHE	
SIGNATURE:	/rgache/	
DATE SIGNED:	10/21/2015	
Total Attachments: 3		
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source=U2012-0037 Assignment of Invention from UAB to Ponce 10.19.15#page3.tif		

ASSIGNMENT

WHEREAS, The Board of Trustees of the University of Alabama for the University of Alabama at Birmingham ("UAB"), a constitutionally created public corporation of the State of Alabama and an entity to which The UAB Research Foundation ("UABRF") is affiliated, entered into an agreement (the "Release") as of the 16th Day of June, 2014, with Dr. Brent A. Ponce to release and assign intellectual property rights owned by UABRF in a Humerus Fixation Device (the "Invention"), as fully described in the exhibits to that Release;

WHEREAS, now UABRF wishes to enter into this assignment (the "**Assignment**") document (the "Assignment") to allow Dr. Ponce to properly perfect his rights in the Invention in the United States Patent Office ("USPTO"), among other patent offices;

NOW, THEREFORE, in consideration of the premises and mutual agreements and covenants set forth in the Release, the parties hereto agree as follows:

UAB and UABRF in consideration acknowledged as part of the Release, and other good and sufficient considerations, the receipt of which is hereby acknowledged, hereby assigns, transfers and sets over, unto Dr. Brent A. Ponce, located in Birmingham, Alabama, as assignee, and his successors, assigns and legal representatives, effective at least as early as the 16th Day of June, 2014, the Effective Date of the Release, their entire right, title and interest, for all countries, in and to the Invention described in the Release and in applications for Letters Patent of the United States in Application Serial Nos. **61/751,485**; **PCT/US2014/011113**, and **14/760,316**, entitled "**Apparatus for the Fixation of Proximal Humerus Fractures**," with the inventors, and all the rights and privileges under any and all Letters Patent that may be granted therefor and thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said Invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said Invention in any country or countries foreign to the United States, together with the right to file such applications; and all forms of industrial property protection, including without limitation, patents, utility models, inventors' certificates and designs which may be granted for said Invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof.

UAB and UABRF hereby authorizes and requests 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 is to issue patents or other evidence or forms of industrial property on applications as aforesaid to issue the same to Dr. Brent A. Ponce, his successors, assigns and legal representatives, or to such nominees as it may designate.

UAB and UABRF agree that, when requested, they will, for reasonable and nominal amounts, sign all papers, take all rightful oaths, and do all acts which may be necessary, desirable or convenient for securing and maintaining patents for the Invention in any and all

countries and for vesting title thereto in Dr. Brent A. Ponce, his successors, assigns and legal representatives or nominees.

UAB and UABRF authorize and empower Dr. Brent A. Ponce, his successors, assigns and legal representatives or nominees, to invoke and claim for any application for patent or other form of protection for the Invention filed by them, the benefit of the right of priority provided by the laws of the United States or the International Convention for the Protection of Industrial Property, as amended, or by any convention which may henceforth be substituted for it, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable, and to invoke and claim such right of priority without further written or oral authorization from UAB and UABRF.

UAB and UABRF hereby consents that a copy of this Assignment shall be deemed a full legal and formal equivalent of any assignment, consent to file or like document which may be required in any country for any purpose and more particularly in proof of the right of the assignee or nominee to claim the aforesaid benefit of the right of priority provided by the International Convention for the Protection of Industrial Property, as amended, or by any convention which may henceforth be substituted for it. UAB and UABRF covenant with Dr. Brent A. Ponce, his successors, assigns and legal representatives or nominees that the rights and property herein conveyed are free and clear of any encumbrance, and that UAB and UABRF have full right to convey the same as herein expressed.

This Assignment has been executed by the undersigned on the date indicated.

UABRF:

The UAB Research Foundation

By: Kathy Nugent

Name: Kathy Nugent

Title: Executive Director

Address:

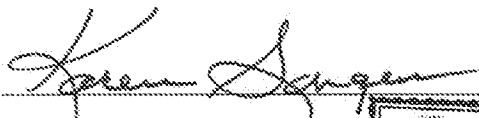
The UAB Research Foundation
Attn: Patent Manager
1720 2nd Avenue South, AB 770
Birmingham, AL 35294-0107

[Notarization Attached]

STATE OF ALABAMA)
JEFFERSON COUNTY)

Before me, the undersigned, a Notary Public in and for said County in said State, hereby certify that Kathy Nugent, whose name is signed to the foregoing **Assignment** and who is known to me, acknowledged before me on this day that, being informed of the contents of the instrument, he/she executed the same voluntarily on the day the same bears date.

Given under my hand and seal this the 16th day of October, 2015.



NOTARY PUBLIC

My Commission Expires: _____

