

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT4877354

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
BENJAMIN E. DEVERMAN	02/11/2015
PAUL H. PATTERSON	10/04/2013
VIVIANA GRADINARU	02/18/2017
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	CALIFORNIA INSTITUTE OF TECHNOLOGY
<b>Street Address:</b>	1200 E. CALIFORNIA BOULEVARD
<b>Internal Address:</b>	MC 210-85
<b>City:</b>	PASADENA
<b>State/Country:</b>	CALIFORNIA
<b>Postal Code:</b>	91125
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	15926892
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(949)760-9502
<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>	
<b>Phone:</b>	8587074000
<b>Email:</b>	efiling@Knobbe.com
<b>Correspondent Name:</b>	KNOBBE, MARTENS, OLSON & BEAR LLP
<b>Address Line 1:</b>	2040 MAIN STREET
<b>Address Line 2:</b>	14TH FLOOR
<b>Address Line 4:</b>	IRVINE, CALIFORNIA 92614
<b>ATTORNEY DOCKET NUMBER:</b>	CALTE.103C2
<b>NAME OF SUBMITTER:</b>	JING LIU
<b>SIGNATURE:</b>	/Jing Liu/
<b>DATE SIGNED:</b>	03/21/2018
<b>Total Attachments: 4</b>	
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**ASSIGNMENT**

WHEREAS, Benjamin E. Deverman, residing at Pasadena, CA, and Paul H. Patterson, residing at Altadena, CA, (individuals hereinafter "ASSIGNOR") invented certain new and useful improvements, technology, inventions, developments, ideas, ornamental design or discoveries related to SELECTIVE RECOVERY (collectively hereinafter referred to as the "Work") for which an application for Letters Patent in the United States has been prepared for filing (identified above) with the United States Patent and Trademark Office (hereinafter the "Application");

AND WHEREAS, California Institute of Technology, a Corporation, having an address at 1200 E. California Boulevard, MC 210-85, Pasadena, CA 91125 (hereinafter the "ASSIGNEE"), desires to acquire the entire right, title, and interest in and to the Application and the Work:

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR hereby acknowledges that ASSIGNOR has sold, assigned, transferred and set over, and by these presents does hereby sell, assign, transfer and set over, unto said ASSIGNEE, its successors, legal representatives and assigns, the entire right, title, and interest throughout the world in the Application and the Work, including all provisional applications relating thereto (including but not limited to U.S. Provisional Application Nos. 61/877,506, filed September 13, 2013, 61/983,624, filed April 24, 2014; 62/020,658, filed July 3, 2014; and 62/034,060, filed August 6, 2014 (respectively if plural applications)), and all nonprovisional applications claiming priority thereto, including, all divisions, continuations, continuations-in-part, reissues, and reexaminations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and any related Letters Patent which may hereafter be granted or filed in any country or countries foreign to the United States, all extensions, renewals and reissues thereof; and ASSIGNOR hereby authorizes and requests the Commissioner of Patents 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 all related Letters Patent to the ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND ASSIGNOR DOES HEREBY sell, assign, transfer, and convey to ASSIGNEE, its successors, legal representatives, and assigns all claims for damages and all remedies arising out of any violation of the rights assigned hereby that may have accrued prior to the date of assignment to ASSIGNEE, or may accrue hereafter, including, but not limited to, the right to sue for, collect, and retain damages for past infringements of said Letters Patent before or after issuance.

AND ASSIGNOR DOES HEREBY covenant and agree that ASSIGNOR will communicate to said ASSIGNEE, its successors, legal representatives and assigns, any facts known to ASSIGNOR respecting the Work, and testify in any legal proceeding, assist in the preparation of any other provisional or non-provisional applications relating to the Application and the Work or any improvements made thereto, sign all lawful papers, authorize the filing of and execute and make all rightful oaths and/or declarations in connection with the Application and the Work including any improvements made thereto, any patent applications filed therefrom, and any continuing application filed from any of the aforementioned applications, and generally do everything possible to aid the ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for the Work in all countries.

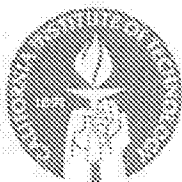
Legal Name of inventor: Benjamin E. Deverman

Signature: 

Date: 02/11/15

*Signature before a Notary is desirable but not required. When signed in presence of a Notary, please attach the appropriate notarial documentation.*

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# CALIFORNIA INSTITUTE OF TECHNOLOGY

## Patent and Copyright Agreement

The California Institute of Technology, a California corporation hereinafter referred to as the Institute, has certain responsibilities to see that inventions made and copyrightable materials (including software) developed at the Institute be used for the public benefit, be administered in such a way as to avoid cause for criticism of the Institute, and meet the Institute's contractual obligations to others. In view of the patent and copyright policies of the Institute in force at this date and as may from time to time be amended, and as consideration for my use of and access to Institute resources, facilities and equipment, I hereby agree as follows:

I will notify the Institute promptly of all inventions or copyrightable materials that I have developed in the course of my duties at or for the Institute, including the Jet Propulsion Laboratory (JPL), or with any use of facilities owned or managed by the Institute. I agree to assign, and hereby do assign, to the Institute all such inventions and copyrightable material, and all copyrightable materials, inventions, copyrights, patent applications and patents relating thereto; and to execute all papers required to apply for, obtain, maintain, issue and enforce such copyright registrations, patents and applications therefor; and to provide reasonable assistance regarding such copyrights, patents and patent applications, including testifying in any interference proceeding or litigation relating thereto. Expenses for the copyrights and patent applications, and for the assistance set forth in the preceding sentence, shall be borne entirely by the Institute.

I agree to notify the Institute of any funding from an agency of the United States Government that may have supported an invention. This is to ensure the compliance of the Institute with the provisions of the Federal Bayh-Dole Act and implementing regulations.

I understand that if the Institute receives funds from the licensing of copyrightable materials or patents assigned to it by me pursuant to this agreement, in excess of unreimbursed expenses associated with obtaining, maintaining and enforcing such copyrights and patents, I shall share in these funds according to the established Institute policy, procedures and practice in effect on the date that the patent application is filed or the copyrightable materials are completed.

I also understand that if I am an employee of the Institute, this agreement does not apply to any invention developed entirely on my own time unrelated to my duties at the Institute and not using Institute equipment, supplies, facilities or trade secret information, *i.e.*, that qualifies fully under the provisions of Section 2870 of the California Labor Code, which states as follows:

*Section 2870. Employment agreements; assignment of rights*

- (a) Any provision in an employment agreement which provides that an employee shall assign, or offer to assign, any of his or her rights in an invention to his or her employer shall not apply to an invention that the employee developed entirely on his or her own time without using the employer's equipment, supplies, facilities, or trade secret information except for those inventions that either:
  - (1) Relate at the time of conception or reduction to practice of the invention to the employer's business, or actual or demonstrably anticipated research or development of the employer; or*
  - (2) Result from work performed by the employee for the employer.**
- (b) To the extent a provision in an employment agreement purports to require an employee to assign an invention otherwise excluded from being required to be assigned under subdivision (a), the provision is against the public policy of this state and is unenforceable.*

This agreement supersedes and replaces any patent and copyright agreement (or other similar agreement concerning the subject matter of this agreement) with the Institute heretofore executed by the undersigned.

Signature: **Patterson, Paul H**

Date and Time: **04-OCT-2013 06:47:34PM**

UID: **1168063**

IP Address: **108.252.93.206**

Revised 3-1-2012

**PATENT**  
**REEL: 045305 FRAME: 0978**

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**ASSIGNMENT**

WHEREAS, Viviana Gradinaru, residing at La Cañada Flintridge, California (individual(s) hereinafter "ASSIGNOR"), invented certain new and useful improvements, technology, inventions, developments, ideas, ornamental design or discoveries related to RECOMBINANT AAV CAPSID PROTEIN (collectively hereinafter referred to as the "Work") for which an application for Letters Patent in the United States has been prepared for filing (identified above) with the United States Patent and Trademark Office (hereinafter the "Application");

AND WHEREAS, CALIFORNIA INSTITUTE OF TECHNOLOGY having an address at 1200 E. California Blvd. M/C 6-32, Pasadena, California 91125 (hereinafter the "ASSIGNEE"), desires to acquire the entire right, title, and interest in and to the Application and the Work:

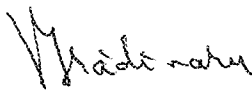
NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR hereby acknowledges that ASSIGNOR has sold, assigned, transferred and set over, and by these presents does hereby sell, assign, transfer and set over, unto said ASSIGNEE, its successors, legal representatives and assigns, the entire right, title, and interest throughout the world in the Application and the Work, including all provisional applications relating thereto (including but not limited to U.S. Provisional Application No(s). 61/877506, 61/983624, 62/020658, and 62/034060, filed on September 13, 2013, April 24, 2014, July 3, 2014, and August 6, 2014 (respectively if plural applications)), and all nonprovisional applications claiming priority thereto, including, all divisions, continuations, continuations-in-part, reissues, and reexaminations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and any related Letters Patent which may hereafter be granted or filed in any country or countries foreign to the United States (including but not limited to PCT Application No. PCT/US2014/055490 filed on September 12, 2014), all extensions, renewals and reissues thereof; and ASSIGNOR hereby authorizes and requests the Commissioner of Patents 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 all related Letters Patent to the ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND ASSIGNOR DOES HEREBY sell, assign, transfer, and convey to ASSIGNEE, its successors, legal representatives, and assigns all claims for damages and all remedies arising out of any violation of the rights assigned hereby that may have accrued prior to the date of assignment to ASSIGNEE, or may accrue hereafter, including, but not limited to, the right to sue for, collect, and retain damages for past infringements of said Letters Patent before or after issuance.

AND ASSIGNOR DOES HEREBY covenant and agree that ASSIGNOR will communicate to said ASSIGNEE, its successors, legal representatives and assigns, any facts known to ASSIGNOR respecting the Work, and testify in any legal proceeding, assist in the preparation of any other provisional or non-provisional applications relating to the Application and the Work or any improvements made thereto, sign all lawful papers, authorize the filing of and execute and make all rightful oaths and/or declarations in connection with the Application and the Work including any improvements made thereto, any patent applications filed therefrom, and any continuing application filed from any of the aforementioned applications, and generally do everything possible to aid the ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for the Work in all countries.

**Legal Name of inventor:** Viviana Gradinaru

Signature: \_\_\_\_\_



Date: 2/18/17

***Signature before a Notary is desirable but not required.***  
*When signed in presence of a Notary, please attach the appropriate notarial documentation.*

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