

PATENT ASSIGNMENT COVER SHEET

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SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
MICHAEL J. CAPLAN	01/13/2016
RECEIVING PARTY DATA	
Name:	ALLERTEIN THERAPEUTICS, LLC
Street Address:	640 SASCO HILL ROAD
City:	FAIRFIELD
State/Country:	CONNECTICUT
Postal Code:	06824
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	16572483
CORRESPONDENCE DATA	
Fax Number:	(617)502-5002
<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>	
Phone:	6172485000
Email:	patentdocket@choate.com
Correspondent Name:	CHOATE, HALL & STEWART LLP
Address Line 1:	TWO INTERNATIONAL PLACE
Address Line 4:	BOSTON, MASSACHUSETTS 02110
ATTORNEY DOCKET NUMBER:	2006517-0271
NAME OF SUBMITTER:	MARIA C. SMITH PHD
SIGNATURE:	/Maria C. Smith/
DATE SIGNED:	09/16/2019
Total Attachments: 4	
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COMBINED ASSIGNMENT & DECLARATION

A. ASSIGNMENT

WHEREAS, I, **Michael J. Caplan** of Woodbridge, CT, am aware of the patent application entitled:

NANOPARTICLES FOR TREATMENT OF ALLERGY; and

☐ prepared for filing in the United States Patent and Trademark Office; or

☒ identified by United States Application Serial No. **14/390,365** filed in the United States Patent and Trademark Office on **October 2, 2014**; and

☒ identified by International Patent Application No. **PCT/US2013/037789** filed on **April 23, 2013**; and

☒ am also aware of the following priority applications:

Serial No.: 61/636,921; Filed: April 23, 2012

WHEREAS **Allertein Therapeutics, LLC** (hereinafter "ASSIGNEE"), having a usual place of business at **640 Sasco Hill Road, Fairfield, CT 06824**, desires to acquire or confirm an interest therein;

NOW, THEREFORE, to all whom it may concern be it known that, in consideration of agreements previously and duly entered into between the parties, and/or for other good and valuable consideration, the receipt of which is hereby acknowledged, I have sold, assigned, and transferred and/or do hereby sell, assign, and transfer unto said ASSIGNEE, its successors, assigns, and legal representatives, my entire right, title, and interest in and throughout the United States of America, its territories and all foreign countries, in and to any and all inventions described in the patent application, and/or any priority applications noted above, including any right of priority thereto; and hereby confirm that my sale, assignment and transfer is and was effective at least as of the filing date of the patent application and/or priority application. My sale, assignment and transfer applies to the above-referenced patent application, and to any application that is based in whole or in part on the patent application, including any divisional, continuing, substitute, renewal, reissue, reexamination and other applications, for example that claim priority to the patent application. Also, this sale, assignment and transfer pertains to any and all other rights arising under or pursuant to any and all international agreements, treaties, or laws relating to the protection of industrial property, including all rights of priority under the International Convention for the Protection of Industrial Property, and in and to any such patent(s) as may issue thereon including any and all original and reissued patents which have been or shall be issued in the United States and foreign countries; said inventions, applications, and patent(s) to be held and enjoyed by ASSIGNEE for its own use and for its successors, assigns and legal representatives, to the full end of the term for which said patent(s) may be

granted as fully and entirely as the same would have been held by me had this sale, assignment and transfer not been made;

AND, I hereby acknowledge that this Assignment, being of my entire right, title, and interest in and to the inventions, carries with it the right in ASSIGNEE, by attorneys and agents of ASSIGNEE selection, to apply for and receive any and all patent(s) for said inventions in its own name;

AND, I hereby further agree for myself and my executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the patent(s) to ASSIGNEE, its successors, assignees, and legal representatives, but at its expense and charges, including the execution of application for patents in foreign countries, the execution of substitution, reissue, divisional or continuation applications, and the giving of testimony, preliminary statements, or other statements in any interference or other proceeding in which the inventions or any applications or patents directed to the inventions may be involved by communicating to the ASSIGNEE all facts I know relating to the inventions and their history, and generally by doing everything possible which ASSIGNEE shall consider desirable for aiding in securing and maintaining proper patent protection for the inventions and for vesting title in the inventions and all applications for patent and all patents on the inventions in ASSIGNEE;

AND, I further hereby authorize ASSIGNEE or its attorneys or agents to insert the correct serial number(s) and/or filing date(s) into this assignment document, if appropriate;

AND, I hereby appoint ASSIGNEE as my common agent for purposes of prosecuting international patent applications and any national patent applications for which such common agency is recognized;

AND, I hereby request the Commissioner for Patents of the United States Patent and Trademark Office to issue any and all patent(s) as shall be granted upon said application or applications based thereon to ASSIGNEE, its successors, assigns, and legal representatives;

AND, I covenant with said ASSIGNEE that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by me, and that full right to convey the same as herein expressed is possessed by me.

B. DECLARATION (37 CFR 1.63)

As the below named inventor, I hereby declare that:

This declaration is directed to the patent application entitled:

NANOPARTICLES FOR TREATMENT OF ALLERGY; and

☐ attached hereto or prepared for filing in the United States Patent and Trademark Office; or

☒ identified by United States Application Serial No. **14/390,365** filed in the United States Patent and Trademark Office on **October 2, 2014**; or


☒ identified by International Patent Application No. **PCT/US2013/037789** filed on **April 23, 2013**.

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

I have reviewed and understand the contents of the application, including the claims and am aware of the duty to disclose to the United States Patent and Trademark Office all information known to be material to patentability as defined in 37 CFR 1.56.


Name: **Michael J. Caplan**

1/13/16
Date

Witness Signature:

Nikolay Gresko
Name (please print):

1/13/16
Date

Witness Signature:

Rosalie Bateson Rott
Name (please print):

01/13/2016
Date